

THE REGENTS OF THE UNIVERSITY OF CALIFORNIA

July 21, 2022

The Regents of the University of California met on the above date at UCSF-Mission Bay Conference Center, 1675 Owens Street, San Francisco and by teleconference meeting conducted in accordance with California Government Code §§ 11133.

Members present: Regents Cohen, Drake, Elliott, Guber, Hernandez, Leib, Makarechian, Ortiz Oakley, Park, Pérez, Pouchot, Reilly, Sherman, Sures, and Timmons

In attendance: Regents-designate Ellis, Raznick, and Tesfai, Faculty Representatives Cochran and Horwitz, Assistant Secretary Lyall, General Counsel Robinson, Provost Brown, Executive Vice President and Chief Financial Officer Brostrom, Executive Vice President and Chief Operating Officer Nava, Senior Vice President Colburn, Vice President Brown, Chancellors Block, Christ, Gillman, Hawgood, Khosla, Larive, May, Muñoz, Wilcox, and Yang, and Recording Secretary Li

The meeting convened at 8:40 a.m. with Vice Chair Elliott presiding.

1. PUBLIC COMMENT

Vice Chair Elliott explained that the public comment period permitted members of the public an opportunity to address University-related matters. The following persons addressed the Board concerning the items noted.

- A. Vincent Rasso, UC Riverside alumnus and representative of the Campaign for College Opportunity, urged the Regents to support Senate Bill (SB) 1141, which would enable undocumented students to transfer more quickly and decrease their total cost of attendance. As the fate of the Deferred Action for Childhood Arrivals (DACA) program remains unclear, expanding qualification for Assembly Bill (AB) 540 status and for in-state tuition would promote access, inclusivity, and economic opportunity to students regardless of their immigration status.
- B. Adam Cooper, UC San Diego graduate student, shared that he was delivering a petition signed by 1,500 climate justice advocates calling for the enactment of a UC Green New Deal. He called on the Regents to finance plans and projects that were free of fossil fuels. UC needed to set a date on which to achieve its climate action goals, and 2035 as suggested by the faculty seemed like a good compromise.
- C. Julia Melendez-Hiriart, UCLA student and representative of the Undocumented Student Coalition, spoke in support of SB 1141, which would create more transfer pathways for nontraditional students and enable undocumented students to qualify for in-state tuition more quickly. In Ms. Melendez-Hiriart's view, these changes could improve California's economy and its work force. She asked that the Regents support this bill.

- D. Madeleine Villanueva, UC Berkeley alumna, asked the Regents to support SB 1141, which would enable more undocumented students to qualify for in-state tuition under AB 540. Through AB 540, Ms. Villanueva was able to transfer to and graduate from UC Berkeley, but the challenges resulting from the COVID-19 pandemic and political uncertainty have made degree attainment more difficult for undocumented returning students and adult learners.
- E. Nan Renner, UCSD alumnus and staff member, called on the Regents and President Drake to make the University free of fossil fuels; update UC's carbon neutrality goals; and reduce fossil fuel extraction, refinement, and burning. Ms. Renner expressed support for the goals set in the memorial passed by the Academic Senate.
- F. Jacqueline Martinez, UC Berkeley alumna, requested the Regents' support for SB 1141. She shared that she had paid out-of-state fees at UCB due to her undocumented status, and that she could not focus on her studies as she thought about how she would pay for tuition, housing, and food. Now working at the undocumented resource center at City College of San Francisco, she observed that the fees were prohibitive for students who wished to attend UC.
- G. Mark Huising, UC Davis professor, expressed strong support for the Academic Senate memorial urging UC to reduce its on-campus combustion of fracked fossil fuel gas. In light of record-breaking temperatures and fires in the U.S. and around the world, the latest report from the United Nations' Intergovernmental Panel on Climate Change called for retiring fossil fuel-based energy systems. UC was releasing one million tons of carbon dioxide emissions every year, and these were Scope 1 and Scope 2 emissions that could be avoided.
- H. Alexandra Masci, UCB alumna, spoke in support of the Academic Senate memorial to reduce on-campus fossil fuel combustion and echoed Mr. Huising's comments. She called on the Regents to place on the September meeting agenda a vote to adopt the UC Green New Deal to rapidly phase out the use of fossil fuels.
- I. Estefania Hermosillo, representative of Immigrants Rising, spoke in support of SB 1141. She shared that she paid in-state tuition as an undocumented student under AB 540, without which she might not have been able to access higher education. In her experience, many students wished to study, grow as individuals, and contribute to their communities.
- J. Irva Hertz-Picciotto, Director of the UC Davis Environmental Health Sciences Center, urged the Regents to adopt the Academic Senate memorial to reduce fossil fuel combustion. She stated that the only way to slow down the accelerating pace of extreme weather events caused by climate change is to dramatically reduce greenhouse gas emissions. The University had an opportunity be a leader in committing to and implementing operations free of fossil fuel at every level.

- K. Derede Arthur, UC Santa Cruz lecturer, shared that young adults were facing debt, political unrest, and especially climate change, and feared that they would have no future. They questioned why the University was not acting to address these crises. Ms. Arthur stated that, by electing to be free of fossil fuels, UC would better serve its mission and set an example for the world.
- L. Julio Cabezas, UCLA alumnus, urged the Regents to support the passage of SB 1141. He stated that this would improve both the transfer process and access to higher education for undocumented students, nontraditional students, and adult learners, and the University would be able to welcome more unique perspectives.
- M. Steven Guttman, UCSB alumnus, expressed deep concern about the negative impacts of the current design of Munger Hall. He asked that the Regents bring transparency to the development process, adding that the campus was proceeding in secret and that contrary voices were being silenced. Mr. Guttman also asked that alternatives to Munger Hall, especially those that could be built more quickly, at lower cost, and in full compliance with the UCSB Long Range Development Plan, be evaluated and considered.
- N. Eleanor Drey, obstetrician/gynecologist (OB/GYN) at San Francisco General Hospital, called on the University to increase staffing in order to provide abortion care to Californians and those from care-limiting states; to increase training opportunities as over 2,000 OB/GYN residents might lose access to abortion training; and to amend the language in Regents Policy 4405, Policy on Affiliations with Healthcare Organizations that Have Adopted Policy-Based Restrictions on Care, so that UC healthcare workers could provide contraception and abortion care at affiliated locations.
- O. Vushana Dobbins, UCSF staff member and member of Teamsters Local 2010, shared struggles that she and other staff were experiencing. Her workload has grown significantly in the last five years, and short staffing has led to high turnover rates, temporary replacements, and poor mental health due to stress. Ms. Dobbins stated that traveling to work was difficult due to her minimal pay, UCSF's high parking fees, and skyrocketing gas prices. She added that UCSF offered no incentives like tuition reimbursement or training for temporary reassignment, and that patient support advocates performed essential work.
- P. Priscila Muñoz Sandoval, UCSF student, asked the Regents to support the passage of SB 1141, which would expand AB 540. Ms. Muñoz Sandoval shared how she had benefited from AB 540. SB 1141 would correct unintended limitations set by prior legislation, allowing more students to benefit from in-state tuition rates.
- Q. Michell Palacios, UCSF nurse and member of the California Nurses Association, shared that, on July 9, UC nurses voted to ratify a new labor contract that recognized their service and commitment, which could serve as a model for contracts nationwide, and would help recruit and retain nurses across the UC system.

Throughout the COVID-19 pandemic, UC nurses have demanded safe staffing, safe working conditions, and necessary personal protective equipment. The new contract would allow nurses to focus on providing the highest standards of care for patients. She recognized the University for not making the bargaining process prolonged and contentious.

- R. Lena Wang, UCLA student, spoke in support of expanding AB 540. Ms. Wang shared that she took a six-year break from college because she could not qualify for AB 540 benefits and was able to return to college after AB 540 was expanded. She noted that many undocumented students were not Deferred Action for Childhood Arrivals (DACA) recipients, and that the DACA program was under attack.

2. **APPROVAL OF MINUTES OF PREVIOUS MEETINGS**

Upon motion duly made and seconded, the minutes of the meetings of May 18 and 19, 2022 were approved, Regents Cohen, Drake, Elliott, Guber, Hernandez, Leib, Makarechian, Ortiz Oakley, Park, Pérez, Pouchot, Reilly, Sherman, Sures, and Timmons voting “aye.”¹

3. **REMARKS FROM STUDENT ASSOCIATIONS**

President Drake introduced UC Student Association (UCSA) President Esmeralda Quintero-Cubillan.

Ms. Quintero-Cubillan began her remarks by noting that this was her final address to the Board as UCSA President and reflected on the significance of representing marginalized groups before the Regents. Ms. Quintero-Cubillan stated that the four actions she suggested in her first address as UCSA President—divesting from the Thirty Meter Telescope (TMT) project, addressing graduate student rent burden, making Election Day non-instructional, and defunding UC police departments—had not been taken and that students were still advocating for them. While she encouraged the University to continue pursuing these actions, she also called on UC to protect the privacy of out-of-state students seeking reproductive health services following the overturning of *Roe v. Wade*. The Accellion data breach demonstrated the vulnerability of UC’s data. Ms. Quintero-Cubillan also asked that the Regents consider holding the September Regents meeting at another location because the U.S. Customs and Border Protection checkpoint near the San Diego campus would prevent undocumented students from attending. Recently, UCSA adopted its fifth permanent campaign, Students Enacting Environmental Defense, to mark 50 years of advocacy. The campaign would focus on environmental justice and indigenous sovereignty. In closing, Ms. Quintero-Cubillan expressed regret that she was unable to achieve certain goals, but also pride in her marginalized identities, which she has tried to highlight throughout her tenure. She asked the Board to consider its legacy.

¹ Roll call vote required by the Bagley-Keene Open Meeting Act [Government Code § 11123(b)(1)(D)] for all meetings held by teleconference.

President Drake introduced UC Graduate and Professional Council (UCGPC) President Hayden Schill, a fifth-year Ph.D. candidate in experimental psychology at UC San Diego.

Ms. Schill began her remarks by raising two issues of importance to graduate students, reproductive health care and climate change. Students were worried that additional rights could be limited or taken away following the U.S. Supreme Court decision in *Dobbs v. Jackson Women's Health Organization*. In response, Ms. Schill suggested that the University enact proactive policies and vocalize dissent as a leading institution. In 2013, then President Janet Napolitano announced the Carbon Neutrality Initiative, and over 1,000 universities announced similar pledges. UC was now about two years from the goal deadline. Ms. Schill stated that some of the warmest years on record occurred during 2013 through 2021, noting California's wildfires and worsening drought. She called on the Regents to discuss at the September meeting the Academic Senate memorial petitioning the Regents to invest in reducing fossil fuel combustion by 60 percent by 2030 and 95 percent by 2035. Adopting the memorial would benefit UC and enhance global well-being. She also suggested including an expert on climate change, like those at the Scripps Institution of Oceanography, in these upcoming discussions about UC 2030 goals and the UC 2030 Capacity Plan. Ms. Schill emphasized that the University's pressing issues worsen and become more expensive if climate is not a priority, and she questioned whether a representative from the fossil fuel industry should be involved in the Alliance for Renewable Clean Hydrogen Energy Systems (ARCHES).

4. **ANNUAL REPORT OF UNIVERSITY OF CALIFORNIA STAFF ASSEMBLIES**

Crystal Petrini, UC Riverside staff member and Chair of the Council of UC Staff Assemblies (CUCSA), shared CUCSA's latest initiatives and accomplishments. In fiscal year 2021–22, CUCSA called for a 4.5 percent merit increase for policy-covered staff, attended UC advocacy events, represented staff in the search for a new systemwide provost, and analyzed the results of the 2021 CUCSA Staff Engagement Survey. Staff were eager to discuss the results with Regents. CUCSA formed a work group to examine how UC could become an anti-racist organization. The work group reviewed "Imagining an Anti-Racist UC," a report from the UC-Coro Systemwide Leadership Collaborative. In the 2021 CUCSA Staff Engagement Survey, staff of color responded less favorably regarding all aspects of the employee experience compared with white respondents. The work group suggested using a common definition of anti-racism across UC, implementing intensive anti-racism training for the CUCSA delegation and local staff assemblies, and sharing anti-racism tools and resources online. CUCSA believed that training staff leaders first would enable them to recommend the training to others.

Derek DeMarco, UC Santa Cruz staff member and CUCSA Operations Officer, noted that UC locations were inconsistent in communicating results and making policy changes in response to the CUCSA Staff Engagement Survey results. CUCSA formed a work group to help UC locations engage with future survey results more consistently and effectively, preparing timelines, sample communications, and recommendations. Mr. DeMarco announced that the 2022 recipients of the Kevin McCauley Memorial Outstanding Staff Award were Lupe-Gallegos-Diaz of UC Berkeley, Paul Cody of UC Davis, Dyan Hall of

UC Irvine, Chou Her of UC Merced, and Michael Luttrell of UC Santa Cruz. This year's recipient of the Outstanding Senior Leadership Award was Chancellor Larive.

Dennis McIver, UC Riverside staff member and incoming Chair, introduced John Bodenschatz of UC Irvine, the new Chair-elect, and Jen Bowser of UC San Diego, the new Operations Officer. Through a bylaw change, the immediate past chair now held an advisory role. The 2022–23 CUCSA delegation would focus on staff retention, creating a new strategic framework, and expanding advocacy. CUCSA looked forward to more opportunities to engage the Regents and hoped to be seen as a partner.

Regent Cohen asked if the Regents should be aware of any particular findings from the 2021 CUCSA Staff Engagement Survey results. Ms. Petrini noted the stark contrast in staff experience between white respondents and respondents of color. Similarly, men responded more favorably than women or those who identified as a different gender. CUCSA was trying to determine why staff experience varied based on identity, and wished to ensure that all staff have a similar positive experience regardless of their background.

Staff Advisor Lakireddy commended the CUCSA presenters and credited staff groups for fostering a sense of belonging and creating opportunities for advancement and leadership. She emphasized that staff leaders were not compensated for these efforts.

The Board recessed at 9:35 a.m.

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The Board reconvened at 1:20 p.m. with Vice Chair Elliott presiding.

Members present: Regents Anguiano, Blas Pedral, Cohen, Drake, Elliott, Hernandez, Leib, Makarechian, Ortiz Oakley, Park, Pérez, Pouchot, Reilly, Sherman, Sures, and Timmons

In attendance: Regents-designate Ellis, Raznick, and Tesfai, Faculty Representatives Cochran and Horwitz, Assistant Secretary Lyall, General Counsel Robinson, Provost Brown, Executive Vice President and Chief Financial Officer Brostrom, Executive Vice President and Chief Operating Officer Nava, Senior Vice President Colburn, Vice Presidents Brown, Lloyd, and Maldonado, Chancellors Block, Christ, Gillman, Hawgood, Khosla, Larive, May, Muñoz, Wilcox, and Yang, and Recording Secretary Li

5. **2022 UNIVERSITY OF CALIFORNIA ACCOUNTABILITY REPORT: HIGHLIGHTS AND UC 2030 UPDATES**

[Background material was provided to Regents in advance of the meeting, and a copy is on file in the Office of the Secretary and Chief of Staff.]

Provost Brown introduced the item, stating that the University used the annual Accountability Report and associated UC Information Center dashboards to promote

transparency and understanding of UC and its operations, and to institutionalize reporting on major systemwide initiatives and goals.

Vice President Pamela Brown explained that the report included information about student, staff, and faculty diversity; the University's teaching, research, public service, and health operations; institutional performance; and honors and rankings. Community safety measures would be discussed under institutional performance in the future. All report data were available online for download. The theme of this year's report was diversity, which was reflected in narratives, such as one about a UC student with severe, nonverbal autism, and equity programs featured throughout the report. The report detailed the progress made on the UC 2030 goals, and a UC Information Center dashboard displayed systemwide and campus-level goals. With regard to the first 2030 goal, given the increase in undergraduate enrollment and improved graduation rates, UC was on track to meet its goal of producing 200,000 additional degrees by 2030. However, UC was slightly below target for the number of graduate degrees being produced.

With regard to the second 2030 goal of improving timely graduation for Pell recipient, first-generation, and underrepresented students, Ms. Brown presented a chart that indicated slight improvement in the first-generation graduation rate, due in part to taking more courses during the COVID-19 pandemic. Still, a double-digit percentage gap between first-generation and non-first-generation students remained. The Compact with Governor Newsom provided stable funding so that campuses could make targeted investments. Ms. Brown noted a decline in first-year retention rates, especially among Pell recipient, first-generation, and underrepresented students. The first-year retention rate for the fall 2020 cohort was 88 percent, a demonstration of the difficulty of convincing students to return once they have left the University. The report included a new measure for academic preparation levels. Ms. Brown presented a chart highlighting the importance of academic preparation for timely graduation, more so than demographic characteristics. Campuses have identified capacity efforts needed, such as with early start programs.

With regard to the third goal of growing and diversifying the professoriate, included in the report was an initiative to "grow our own" by recruiting more than 40 percent of UC academic doctoral students from more diverse institutions. These included UC and California State University undergraduate programs, Historically Black Colleges and Universities, Hispanic-Serving Institutions, and Tribal Colleges and Universities. UC aimed to add 1,100 ladder-rank faculty in four years; growth was an important way to diversify the professoriate. The University was not on track to achieve this goal given the amount of growth needed and the number of separations in the last year.

Regent Reilly asked the presenters how they felt about UC's performance. Provost Brown stressed the importance of having articulated goals that were transparent and known. He expressed concern about where UC has fallen short and was heartened by the State's reinvestment in the University so that UC could work toward these goals more effectively. Retention rates served as an upper threshold of what graduation rates could be, and improving retention required investing in student support. In addition, investments needed

to be maintained to diversify the faculty. This included diversity of disciplines, innovations, and the types of support provided to students.

President Drake attributed the decline in retention and flattening of faculty growth to the pandemic, particularly the stress experienced by families and the “Great Resignation.” The University was watching this carefully.

Regent Reilly asked how the Regents could help. Vice President Brown underscored the effectiveness of the Regents’ support in UC advocacy efforts. With multiple years of enrollment funding and support from the State, UC would be able to hire faculty ahead of enrollment growth, which would help stabilize the institution.

Regent Ortiz Oakley suggested that future accountability reports highlight transfer data, particularly regarding accumulated units.

6. **PRESENTATION OF UC 2030 CAPACITY PLAN**

[Background material was provided to Regents in advance of the meeting, and a copy is on file in the Office of the Secretary and Chief of Staff.]

President Drake introduced the item, an update on the UC 2030 Capacity Plan. A working group consisting of the Council of Chancellors, leaders and staff from the Office of the President (UCOP), and UC experts was formed to develop a strategy to achieve the University’s enrollment growth goal. Since last fall, the working group has met monthly and has identified two possible courses of action. The first option was supported by Governor Newsom’s five-year funding Compact and by the Legislature in this year’s State budget, while the second, more aspirational option would require additional State support.

Vice President Brown stated that the first option would add 23,055 student full-time equivalents (FTE), about the same population as UC Santa Cruz or UC Santa Barbara. This included 14,230 more California resident students per the Governor’s Compact, a possible exchange of 2,825 nonresident students for resident students at UC Berkeley, UCLA, and UC San Diego, and 6,000 graduate students. The more aspirational option would add 33,000 student FTE. Ms. Brown presented a list of aspects related to intentional growth. Nontraditional growth included summer session, online education, and off-campus opportunities like internships, education abroad, or research. The remaining four aspects aligned with the Legislature’s and Governor Newsom’s goals. Within degree attainment, there was a particular need for graduate degree growth. The California Futures Foundation projected a gap in graduate degrees by 2030 in fields such as technology and healthcare. Undergraduate degree attainment was a part of the UC 2030 goals. UC surveyed students who did not complete their degree and found that these individuals were interested in returning to complete their degrees but faced significant barriers such as work, family responsibilities, and location. One-time State funding was allocated to UC Merced for a degree completion program launching this fall. The remaining funding would be allocated to UC Davis and UC Riverside, who were joining this effort. The three campuses would form the UC Reengagement Consortium. Another aspect of intentional growth, reflecting

the state's diversity, was a major component of the UC 2030 goals. With regard to supporting underserved regions, UC Riverside and UC Merced could increase educational attainment and expand economic opportunity through traditional growth in the Inland Empire and San Joaquin Valley, respectively. A number of campuses were participating in the Regional K–16 Education Collaborative Grant Program as well. The University also sought to meet workforce demand through growth in areas important to the State.

State-supported enrollment in the proposed growth option would be funded by the Governor's Compact, while capital investments in deferred maintenance, seismic support, and new facilities would be covered by one-time State funding or a general obligation bond. The aspirational growth option would be funded using a similar approach.

Chancellor Muñoz stated that the Merced campus hoped to accommodate 20 to 25 percent of UC's growth. While the completion of the Merced 2020 Project allowed UC Merced to educate up to 10,000 students, the campus would soon reach this number and planned to build a medical education building to serve an additional 2,200 students in public health, psychological sciences, and medical education. UCM currently offered 27 majors while comparable institutions offered 40 to 60 majors, and efforts to diversify its portfolio of undergraduate programs required investment in faculty, staff, and facilities. Furthermore, 63 percent of UCM undergraduate students were enrolled in five majors—biology, computer science, engineering, psychology, and mechanical engineering—all of which required faculty, staff, and sophisticated facilities. The campus was also working with the Academic Senate to add to its 16 Ph.D. and 13 master's programs. Regional admissions marketing efforts, such as brand awareness and digital marketing, were being expanded in the hopes of increasing the number of students who attend college in the Central Valley. UC Merced was collaborating with its community college partners on the Promise Program, a transfer pathway program with an online course tracker, and with Los Angeles Unified School District on a gear-up program that would bring students to UCM, as well as developing an automatic admissions program that it was beginning to introduce to high school districts. The campus' enrollment growth plans included retention and graduation goals. To meet these goals, UC Merced planned to add Living-Learning Communities in entrepreneurialism, engineering, and public health, and planned to expand its summer bridge program. UCM also created a summer outreach program to encourage college-admissible young men to attend college, planned to add a learning assistance program for undergraduate students, and was establishing a new office that aggregates high-impact practices. To become the first Research 1 institution in the Central Valley, UCM would need increased investment in faculty and academic programs, and growth in infrastructure and capacity. UC Merced planned to establish a school of management and a school of public health, and it planned to enroll its first B.S. to M.D. student cohort in fall 2023, mostly from underserved communities, in partnership with UCSF and UCSF-Fresno.

Chancellor Block stated that UCLA was also committed to expanding enrollment but that the campus lacked additional physical space. While the four-year graduation rate for freshman entrants was 85 percent and the two-year graduation rate for transfer students was 75 percent, UCLA has worked to continue improving those rates and to close graduation gaps among underrepresented, first-generation, and Pell Grant recipient

students. The campus' investments toward retention and persistence included the Black Bruin Resource Center, the First to Go program, and a focus on becoming a Hispanic-Serving Institution (HSI). New initiatives such as Rising to the Challenge, Faculty Forward, and the HSI initiative focused on recruiting and retaining diverse faculty. Native Americans and Pacific Islander Bruins Rising was committed to the recruitment of faculty and graduate students. A growth in cultural competency was needed to accompany enrollment growth in order to serve a diverse student body. Improving graduation rates might yield only 200 to 300 additional incoming slots for California residents, but UCLA would begin to reflect the diversity of the state and be more attractive. UCLA has convened a working group to determine how it might turn summer session into a full quarter. Courses could be offered earlier in the morning and later in the afternoon, or remotely. Having a full summer quarter would allow UCLA to accept 2,000 more students and shorten time-to-degree for all students. With a possible satellite campus in the Los Angeles region, and UCLA in LA, a program that would provide students work and internship opportunities in Downtown Los Angeles, UCLA could accommodate 600 to 1,000 more students. Chancellor Block envisioned a holistic approach to growth, whereby a growth in undergraduate and graduate student enrollment is accompanied by an increase in faculty hiring and academic programs.

Regent Park asked if the cost estimate for nontraditional growth was based on knowledge or assumption. Executive Vice President and Chief Financial Officer Brostrom replied that the operating budget seemed more feasible than the capital budget given State support and the cohort-based tuition model. The cost of capital investment was high but would go toward meeting objectives in the Capital Financial Plan. The University would struggle to have the debt capacity to add to capital investment even with State support. Capital was a major barrier and would require creative thinking, such as acquisition of existing spaces and reconfiguration of administrative spaces. President Drake added that he envisioned the marginal cost of instruction decreasing as UC adds more students.

Regent Park asked how much of the growth of UCB, UCLA, and UCSD was accounted for by the exchange of nonresident students for resident students. Ms. Brown replied that it represented about one quarter of the growth on these campuses.

Regent Park asked if the expansion of online learning was part of this capacity plan. Ms. Brown replied in the affirmative. UC Irvine, UCSD, and UC Santa Cruz offered more online education during the summer and had instructional designers and partnerships with campus divisions of the Academic Senate to expand their online offerings.

Regent Park expressed concern about the dissonance with the Academic Senate regarding online education. She underscored the futility of debating whether in-person or online instruction was better. UC should strive to enrich every mode of education it offered.

Regent Hernandez remarked that the University had an opportunity to grow its smaller campuses and should prioritize resources for such growth at these campuses. President Drake responded that each campus presented its own growth plans and needs. UC Merced made up five percent of UC's undergraduate population but was taking on 25 percent of

the University's growth. Ms. Brown added that significant growth was being proposed at UCM and UCR, and the aspirational growth plan fit the Merced campus' strategic plan. Chancellor Muñoz stated UC Merced and UC Riverside recently received more State support for their infrastructure needs. Resources were needed to hire people who would work in these new facilities. Mr. Brostrom shared that UC Merced was most dependent on State support and tuition. With more faculty, these campuses would add new contracts and grants and indirect cost recovery, becoming more attractive to nonresident students. There would also be growth in on-campus housing and other revenues.

Regent-designate Ellis noted that the Regents and UCOP requested that UCM freeze major growth for about four years in 2009. The campus was aligning its majors with what was needed in the San Joaquin Valley and trying to improve articulation with the community colleges. In his view, bringing more students to UC Merced had a ripple effect throughout the San Joaquin Valley and the State, and benefitted the system as a whole. The average age of UCM alumni was 27, the percentage of alumni donors was in the double digits for the last five years, and 80 percent of UCM alumni stayed in California.

Regent Cohen thanked President Drake and the chancellors for their efforts and remarked that the proposed finances matched this opportunity to change the future of UC. He offered his help in the creative thinking process.

Regent Anguiano shared Regent Hernandez's concern about resource alignment. She was also concerned about the revenue differences arising from the exchange of nonresident students for resident students. Ms. Brown replied that the exchange was revenue-neutral, and that campuses were reducing the number of nonresident students. Mr. Brostrom stated that, through rebenching, the Merced campus received more per student than other campuses. At UC Riverside, every unweighted student was allocated 95 percent of the overall amount. UC was also looking to revise the allocation model to account for different populations of students.

Chair Leib emphasized the high demand for a UC education and asked Chancellor Block to expound on UCLA's plan for satellite campuses. Chancellor Block replied that there was an opportunity in Santa Clarita, where the UCLA Film and Television Archive was located, AltaSea at the Port of Los Angeles, and the San Pedro area, as well as programming opportunities in Downtown Los Angeles. Chair Leib offered his help in communications and contacts with local elected officials.

Staff Advisor Lakireddy praised Chancellor Muñoz's dedication to growth and emphasized the eagerness of the surrounding community for UC Merced's growth.

Vice Chair Elliott invited Student Observer Simran Athwal to make remarks originally scheduled for the joint meeting of the Academic and Student Affairs Committee and the Finance and Capital Strategies Committee, which had been deferred.

Ms. Athwal, who was studying biology, global health, and genetics at UCLA, stated that UC Berkeley did not have the physical space to build more housing and was located in one

of the most expensive metropolitan areas. Fifteen percent of UCB students lived ten miles from campus, which presented challenges in commuting, participating in on-campus activities, and maintaining academic success. Ms. Athwal thanked the Regents for approving the Albany Village project in July 2021, which would add some 760 beds to UC Berkeley, but more housing was needed. In her own experience, having four years of guaranteed housing at UCLA removed the stress of commuting and seeking off-campus housing, which was very expensive. Housing and financial aid were major determinants of which university students choose to attend. Ms. Athwal called for further housing developments either in the City of Berkeley or nearby.

7. **UPDATE OF COVID-19 IMPACT ON THE UNIVERSITY OF CALIFORNIA: UC HEALTH ISSUES**

[Background material was provided to Regents in advance of the meeting, and a copy is on file in the Office of the Secretary and Chief of Staff.]

Anne Foster, Chief Clinical Officer at UC Health, stated that the U.S. Centers for Disease Control and Prevention (CDC) recommended indoor masking where there were high levels of community transmission of COVID-19. This was currently the case for 93 percent of counties in the U.S. The U.S. Food and Drug Administration (FDA) approved and the CDC recommended vaccinating individuals six months of age or older. A recent study has shown that, for individuals 50 years and older, there was a 42-fold risk of death for unvaccinated individuals compared with those who received their primary series and two or more booster doses. Those in this age group who received one booster dose had a fourfold risk of death compared with those who received two booster doses. A booster dose specific to the Omicron variant would be available later in the year. A recent UCSF Gladstone Institute study has shown that natural infection with the Omicron variant resulted in weak immunity. Being unvaccinated or under-vaccinated meant limited immunity and increased susceptibility to repeat infection. Repeated, acute COVID-19 infection increased the risk of hospitalization, sequelae, and death. With regard to post-acute sequelae of SARS-CoV-2 (PASC), also known as long COVID, a CDC study noted that one in five adults age 18 or over might have a condition related to an acute COVID-19 infection. Vaccination has been found to reduce the risk of long COVID by only 15 percent. Dr. Foster emphasized avoiding infection and reinfection and called for a return to masking, distancing, and handwashing. The BA.5 sub-variant of Omicron now accounted for nearly 80 percent of infections, and hospitalizations were rising in this current wave. Dr. Foster presented charts of the genetic and antigenic distance of SARS-CoV-2 variants, as well as variant fitness, to demonstrate the greater transmissibility of BA.5 compared with other variants. Pharmacists could now prescribe Paxlovid, which could prevent severe disease and death, as well as reduce transmission. Dr. Foster also recommended outdoor masking to prevent exposure to the virus. For the fall term, campuses planned to ask students to test for COVID-19 prior to and upon arrival on campus, and indoor masking would be recommended where there was high community transmission. UC would focus more on isolation over quarantine, as well as wastewater testing where available in order to have advance notice of surges. Student health centers were functioning as “test-to-treat” centers,

and UC would maintain high-volume testing laboratories at UC Davis and in the Los Angeles area.

Robert “Chip” Schooley, Distinguished Professor of Medicine at UC San Diego, shared lessons learned at the campus level. At the onset of the pandemic, UCSD decided to maximize its operational capability while maintaining health and safety. UC campuses have been a major resource to communities, governments, businesses, K–12 schools, and other institutions as they navigated the pandemic. The San Diego campus implemented a multi-tiered approach to understand the trajectory of the virus, prevent ongoing transmission, and institute science-based risk mitigation. Mathematical modeling was used to predict hospital utilization and make policy about dormitory and classroom density. UCSD was among the first in the country to advocate mass testing and use wastewater testing to target individual locations for testing and anticipate new cases. In the past, there had been concern in the community that campuses would incubate the virus, but UC viral activity was much lower than in surrounding communities, which learned from UC. UCSD has been able to detect new variants in wastewater before public health authorities detected them via individual testing. Many UC campuses launched major vaccination initiatives. Dr. Schooley underscored the importance of helping the UC community understand how best to navigate COVID-19 both on and off campus; most of the viral activity on campus was brought into campus from the community. Instead of trying to enforce heavy-handed compliance programs while many had “COVID fatigue,” UCSD has developed metric matrices of key indicators of viral activity among the different constituencies that the campus served in order to guide decision-making. The San Diego campus has been able to maintain core activities and minimize morbidity, and has actively engaged with its constituencies and listened to their concerns. Chancellor Khosla supported these endeavors, seeing them as investments rather than expenses.

In response to a question from Chair Leib regarding the UCSF health screening, Chancellor Hawgood stated that UCSF’s return to campus policy was bifurcated depending on whether there was a critical labor shortage. For those who have contracted COVID-19, UCSF requires that individuals be asymptomatic and five days from the last positive test. Many individuals did not test negative by the fifth day, and the average was eight days. Dr. Schooley noted that the Omicron variant decayed more slowly than the Delta variant. Chair Leib praised the efficacy of Paxlovid but noted a rebound of COVID-19 in 30 percent of cases.

Regent-designate Raznick asked about the trajectory of the virus. Dr. Schooley replied that this has been hard to decipher. Over time, the population has become more experienced with regard to vaccination and infection and has acquired more baseline immunity. The more recently one has been vaccinated, the less likely one is to have severe disease. In a population that is familiar with prior variants, different variants that are harder to control with prior immunity would have a selective advantage. He suggested encouraging populations to remain current with vaccinations.

Regent Hernandez asked if the next COVID-19 strain could be predicted like influenza strains. Dr. Schooley stated that influenza vaccines are tailored based on strains observed

during the winter in the southern hemisphere. COVID-19 did not have such a seasonal cycle; there have been explosions of the virus at all times of the year. A vaccine targeting BA.5 was anticipated in October, but the BA.5 surge might have passed by then. Unlike influenza vaccines, messenger ribonucleic (mRNA) vaccines could be manufactured within days. In addition to antibody responses, the human body had a broader killer T-cell response, so having immunity against a prior variant would broaden immunity toward new variants. Dr. Foster added that a universal COVID vaccine was being developed and would possibly be available in two to five years. Dr. Schooley remarked that there was still no vaccine for Acquired Immunodeficiency Syndrome (AIDS). In his view, one could not rely on vaccines alone; therapeutics were very important. Paxlovid has not been affected by strain differences, and other antivirals were being developed, with the University leading much of the research in those areas.

Regent Reilly asked if herd immunity was no longer possible because of the number of variants and sub-variants. Dr. Schooley replied that herd immunity was an elusive goal because of variants but also due to the fleeting immunity from coronaviruses. Coronaviruses that have been circulating in the human population for hundreds of years reemerge every third year because of waning immunity. These coronaviruses have not had much variation.

8. **COMMITTEE REPORTS INCLUDING APPROVAL OF RECOMMENDATIONS FROM COMMITTEES**

Chair Leib stated that Chairs of Committees and Special Committees that met the prior day and off-cycle would deliver reports on recommended actions and items discussed, providing an opportunity for Regents who did not attend a particular meeting to ask questions.

Report of the Academic and Student Affairs Committee

The Committee presented the following from its meeting of July 20, 2022:

A. ***Report on Undergraduate Admissions Requirements and Comprehensive Review***

Regent Park reported that the Committee discussed the annual report, which included descriptions of each campus' admissions process. She urged Board members to review the report.

B. ***University of California Dual Admission***

This item was deferred.

C. ***Enhancing Student Transfer: CCC-UC Transfer Task Force Final Report***

This item was deferred.

D. *Amendment of Regents Policy 2110: Policy on Augmented Review in Undergraduate Admissions, Amendment and Consolidation of Regents Policies 2102: Policy on Undergraduate Admissions with Regents Policies on Admission 2101, 2103, 2104, 2105, 2108, and 2111, and Rescission of Consolidated Policies as Separate Policies*

The Committee recommended that the Regents:

- (1) Amend and consolidate Regents Policy 2102 – Policy on Undergraduate Admissions with Regents Policy 2101 – Policy on Admissions, Regents Policy 2103 – Policy on Undergraduate Admissions Requirements, Regents Policy 2104 – Policy on Comprehensive Review in Undergraduate Admissions, Regents Policy 2105 – Policy on Undergraduate Admissions by Exception, Regents Policy 2108 – Resolution Regarding Individualized Review and Holistic Evaluation in Undergraduate Admissions, and Regents Policy 2111 – Policy on Academic Verification, as shown in Attachment 1.
- (2) Amend Regents Policy 2110 – Policy on Augmented Review in Undergraduate Admissions, as shown in Attachment 2.
- (3) Rescind consolidated policies: Regents Policy 2101 – Policy on Admissions, Regents Policy 2103 – Policy on Undergraduate Admissions Requirements, Regents Policy 2104 – Policy on Comprehensive Review in Undergraduate Admissions, Regents Policy 2105 – Policy on Undergraduate Admissions by Exception, Regents Policy 2108 – Resolution Regarding Individualized Review and Holistic Evaluation in Undergraduate Admissions, and Regents Policy 2111 – Policy on Academic Verification, as shown in Attachment 3.

Regent Park reported that the Regents’ office, the Systemwide Provost, the Office of the General Counsel, and the Academic Senate worked to update Regents policy so that it reflected current admissions policy, namely the removal of the SAT/ACT requirement in admissions. She had asked Regents Pérez and Elliott and then Regent Lott to parse the changes.

Upon motion of Regent Park, duly seconded, the recommendation of the Academic and Student Affairs Committee was approved, Regents Anguiano, Blas Pedral, Cohen, Drake, Elliott, Hernandez, Leib, Makarechian, Ortiz Oakley, Park, Pérez, Pouchot, Reilly, Sherman, Sures, and Timmons voting “aye.”

Report of the Compliance and Audit Committee

The Committee presented the following from its meeting of July 20, 2022:

Approval of Compliance Plan for 2022-23 and Internal Audit Plan for 2022–23

The Committee recommended approval of the Compliance Plan for 2022–23, as shown in Attachment 4, and the Internal Audit Plan for 2022–23, as shown in Attachment 5.

Upon motion of Vice Chair Elliott, duly seconded, the recommendation of the Compliance and Audit Committee was approved, Regents Anguiano, Blas Pedral, Cohen, Drake, Elliott, Hernandez, Leib, Makarechian, Ortiz Oakley, Park, Pérez, Pouchot, Reilly, Sherman, Sures, and Timmons voting “aye.”

Report of the Finance and Capital Strategies Committee

The Committee presented the following from its meeting of July 20, 2022:

A. *Consent Agenda:*

- (1) ***Budget, Scope, and Design Following Action Pursuant to the California Environmental Quality Act, Peninsula Outpatient Center Tenant Improvements, San Francisco Campus***

The Committee recommended that:

- a. The 2022–23 Budget for Capital Improvements and the Capital Improvement Program be amended to include the following project:

From: San Francisco: Peninsula Outpatient Center Tenant Improvements – preliminary plans – \$2.5 million funded from hospital reserves.

To: San Francisco: Peninsula Outpatient Center Tenant Improvements – preliminary plans, working drawings, construction, and equipment – \$88,841,000 funded from hospital reserves.

- b. The scope of the Peninsula Outpatient Center Tenant Improvements project be approved to include an ambulatory surgery center, a full complement of ambulatory imaging services, a cancer clinic, and an infusion center totaling 52,300 rentable square feet of leased space in a recently constructed medical office building.
- c. Following review and consideration of the environmental consequences of the proposed Peninsula Outpatient Center Tenant Improvements project, as required by the California Environmental Quality Act (CEQA), including any written information addressing this item received by the Office of the Secretary and Chief of Staff to the Regents no less than 48 hours in advance of the beginning of the Regents meeting, testimony or written materials presented to the

Regents during the scheduled public comment period, and the item presentation, the Regents:

- i. Determine that the project is categorically exempt from CEQA.
- ii. Approve the design of the Peninsula Outpatient Center Tenant Improvements project, San Francisco campus.

(2) ***Budget, Scope, External Financing, and Design Following Action Pursuant to the California Environmental Quality Act, Medical Office Building for the Folsom Center for Health, Davis Health Campus***

The Committee recommended that:

- a. The 2022–23 Budget for Capital Improvements and the Capital Improvement Program be amended to include the following project:

From: Davis: Folsom Medical Office Building for the Folsom Center for Health – preliminary plans – \$6.9 million funded from hospital reserve funds.

To: Davis: Folsom Medical Office Building for the Folsom Center for Health – preliminary plans, design, construction, and equipment – \$171.69 million funded from external financing (\$100.8 million) and hospital reserve funds (\$70.89 million).

- b. The scope of the Folsom Medical Office Building for the Folsom Center for Health project be approved. The project shall construct approximately 110,000 gross square feet (gsf) of medical office and support services space, including 115 patient examination rooms, four procedure rooms, and clinical and building support spaces. Site development shall include landscape and hardscape, parking, utilities, and pathways to and around the building.
- c. The President of the University be authorized to obtain external financing (Series 2020N, 2022P, and/or 2022Q) plus additional related financing costs in an amount not to exceed \$100.8 million to finance the Folsom Medical Office Building for the Folsom Center for Health. The President shall require that:
 - i. Interest only, based on the amount drawn, shall be paid on the outstanding balance during the construction period.
 - ii. As long as the debt is outstanding, the general revenues of

UC Davis Health shall be maintained in amounts sufficient to pay the debt service and to meet the related requirements of the authorized financing.

- iii. The general credit of the Regents shall not be pledged.
 - d. Following review and consideration of the environmental consequences of the Folsom Center for Health, as required by the California Environmental Quality Act (CEQA), including any written information addressing this item received by the Office of the Secretary and Chief of Staff to the Regents no less than 48 hours in advance of the beginning of this Regents meeting, testimony or written materials presented to the Regents during the scheduled public comment period, and the item presentation, the Regents:
 - i. Certify the program Environmental Impact Report (EIR) for the UC Davis Folsom Center for Health, including the Medical Office Building as the first phase of development.
 - ii. Make a condition of approval the implementation of applicable mitigation measures within the responsibility and jurisdiction of UC Davis as identified in the Mitigation Monitoring and Reporting Program adopted in connection with the Folsom Center for Health.
 - iii. Adopt the CEQA Findings and Statement of Overriding Considerations.
 - iv. Approve the design of the Medical Office Building for the Folsom Center for Health, Davis Health campus.
- B. ***Amendment of Budget and External Financing; Health Sciences Instruction and Research Buildings Life Safety Improvements; Health Sciences Instruction and Research Buildings Seismic Improvements, San Francisco Campus***

The Committee recommended that:

- (1) The 2022–23 Budget for Capital Improvements and the Capital Improvement Program be amended to include the following project:
 - a. From: San Francisco: Health Sciences Instruction and Research Buildings Life Safety Improvements – design (preliminary plans and working drawings) and construction – \$13 million funded from State Appropriations under the provisions of Section 92493 et seq. of the California Education Code.

- To: San Francisco: Health Sciences Instruction and Research Buildings Life Safety Improvements – design (preliminary plans and working drawings) and construction – \$25.7 million funded from external financing supported by State Appropriations under the provisions of Section 92493 et seq. of the California Education Code (\$13 million) and external financing supported by campus funds (\$12.7 million).
- b. From: San Francisco: Health Sciences Instruction and Research Buildings Seismic Improvements – preliminary plans, working drawings, and construction – \$47,432,000 funded from State Appropriations under the provisions of Section 92493 et seq. of the California Education Code (\$37 million) and campus funds (\$10,432,000).
- To: San Francisco: Health Sciences Instruction and Research Buildings Seismic Improvements – preliminary plans, working drawings, and construction – \$63.5 million funded from State Appropriations under the provisions of Section 92493 et seq. of the California Education Code (\$37 million), campus funds (\$10 million), and external financing supported by campus funds (\$16.5 million).
- (2) The President of the University be authorized to obtain external financing in an amount not to exceed \$29.2 million plus additional related financing costs to finance the Health Sciences Instruction and Research Buildings Life Safety Improvements and the Health Sciences Instruction and Research Buildings Seismic Improvements projects. The President shall require that:
- a. Interest only, based on the amount drawn, shall be paid on the outstanding balance during the construction period.
- b. As long as the debt is outstanding, the general revenues of the San Francisco campus shall be maintained in amounts sufficient to pay the debt service and to meet the related requirements of the authorized financing.
- c. The general credit of the Regents shall not be pledged.
- C. ***Budget, Standby and Interim Financing, Gateway New Academic Building, Berkeley Campus***

The Committee recommended that:

- (1) The 2021–22 Budget for Capital Improvements and Capital Improvement Program be amended as follows:
 - From: Berkeley: Gateway New Academic Building – preliminary plans and working drawings for the entire project, and construction of the Site Make-Ready Work portion of the project – \$64.28 million to be funded from gift funds.
 - To: Berkeley: Gateway New Academic Building – preliminary plans, working drawings, construction, and equipment – \$550 million to be funded by gift funds.
- (2) Standby financing be approved in an amount not to exceed \$320 million plus related interest expense and additional related financing costs to finance the Gateway New Academic Building project. The Berkeley campus shall satisfy the following requirements:
 - a. Interest only, based on the amount drawn, shall be paid on the outstanding balance during the construction period.
 - b. Repayment of any debt shall be from gift funds. As gifts are received, the campus will reimburse the standby financing in a timely fashion. If gift funds are insufficient and some or all of the debt remains outstanding, then campus funds shall be used to pay the debt service and to meet the related requirements of the authorized financing.
 - c. As long as the debt is outstanding, the general revenues of the Berkeley campus shall be maintained in amounts sufficient to pay the debt service and to meet the related requirements of the authorized financing.
 - d. The general credit of the Regents shall not be pledged.
- (3) Interim financing be approved in an amount not to exceed \$230 million plus related interest expense and additional related financing costs to finance the Gateway New Academic Building project. The Berkeley campus shall satisfy the following requirements:
 - a. Interest only, based on the amount drawn, shall be paid on the outstanding balance during the construction period.
 - b. To the extent additional gifts and other funds are received as cash, the amount of interim financing will be reduced. To the extent additional gifts are received as documented pledges, the interim financing will be converted to standby financing.

- c. If gifts or pledges are not received within five years from the initial draw, the interim financing will be converted to long-term external financing or the Berkeley campus will pay down the interim financing.
- d. As long as the debt is outstanding, the general revenues of the Berkeley campus shall be maintained in amounts sufficient to pay the debt service and to meet the related requirements of the authorized financing.
- e. The general credit of the Regents shall not be pledged.

D. ***Budget, Scope, External Financing, and Design Following Action Pursuant to the California Environmental Quality Act, School of Business Building, Riverside Campus***

The Committee recommended that:

- (1) The 2022–23 Budget for Capital Improvements and the Capital Improvement Program be amended as follows:
 - From: Riverside: School of Business Building – preliminary plans – \$4.3 million to be funded from campus funds.
 - To: Riverside: School of Business Building – preliminary plans, working drawings, construction, and equipment – \$87 million to be funded from campus funds (\$80 million) and external financing (\$7 million).
- (2) The scope of the School of Business Building project shall provide approximately 36,000 assignable square feet (60,000 to 64,000 gross square feet) of instructional and support space in a new facility for business education, including furniture and equipment, and all associated site work and utilities.
- (3) The President of the University shall be authorized to approve external financing (Century Bond 2015) in an amount not to exceed \$7 million to finance the School of Business Building. The Riverside campus shall satisfy the following requirements:
 - a. Interest only, based on the amount drawn, shall be paid on the outstanding balance during the construction period.
 - b. As long as the debt is outstanding, the general revenues of the Riverside campus shall be maintained in amounts sufficient to pay

the debt service and to meet the related requirements of the authorized financing.

c. The general credit of the Regents shall not be pledged.

(4) Following review and consideration of the environmental consequences of the proposed School of Business Building project, as required by the California Environmental Quality Act (CEQA), including any written information addressing this item received by the Office of the Secretary and Chief of Staff no less than 48 hours in advance of the beginning of this Regents meeting, testimony or written materials presented to the Regents during the scheduled public comment period, and the item presentation, the Regents:

a. Adopt the CEQA Findings for the School of Business Building, having considered both the 2021 Long Range Development Plan Environmental Impact Report (EIR) for the Riverside campus and Addendum No. 1 to the 2021 LRDP EIR for the School of Business.

b. Make a condition of approval the implementation of mitigation measures within the responsibility and jurisdiction of UC Riverside as identified in the Mitigation Monitoring and Reporting Program adopted in connection with the 2021 LRDP EIR.

c. Approve the design of the School of Business Building, Riverside campus.

E. ***Update on the Final 2022–23 State Budget***

Regent Cohen relayed the Committee’s appreciation of Governor Newsom’s and the State Legislature’s support for the University. Follow-up items discussing challenges in deferred maintenance were anticipated.

F. ***Amendment of the University of California Retirement Plan for Ad Hoc Cost-of-Living Adjustment for Annuitants***

The Committee recommended that the University of California Retirement Plan (“UCRP” or “Plan”) be amended to provide a one-time ad hoc cost-of-living adjustment (COLA) to restore purchasing power to an 85 percent minimum level, effective July 1, 2022.

Regent Cohen reported that a small number of retirees currently did not have 85 percent of the purchasing power they had when they retired, and this proposal would reduce the unfunded status of the UC Retirement Plan by 0.03 percentage points. Committee members raised concern about the various tiers in the University’s retirement system, and Regent Cohen noted that this proposal did not

factor all the complexities of the UC pension system. The Committee planned to discuss these issues in the future.

G. *Next Generation Centrifuge Facility, Davis Campus*

This information item was not summarized.

Upon motion of Regent Cohen, duly seconded, the recommendations of the Finance and Capital Strategies Committee were approved, Regents Anguiano, Blas Pedral, Cohen, Drake, Elliott, Hernandez, Leib, Makarechian, Ortiz Oakley, Park, Pérez, Pouchot, Reilly, Sherman, Sures, and Timmons voting “aye.”

Report of the Governance Committee

The Committee presented the following from its meeting of July 21, 2022:

A. *Approval of Appointment of and Compensation for Tricia Lyall as Interim Secretary and Chief of Staff to the Regents as Discussed in Closed Session*

The Committee recommended that the Regents approve the following items in connection with the appointment of and compensation for Tricia Lyall as Interim Secretary and Chief of Staff to the Regents:

- (1) Per policy, appointment of Tricia Lyall as Interim Secretary and Chief of Staff to the Regents, at 100 percent time.
- (2) Per policy, an annual base salary of \$230,400. At the conclusion of the interim appointment, Ms. Lyall’s annual base salary will revert to her annual base salary in effect as of June 30, 2022 (\$161,007), plus any adjustments made under a systemwide salary program during the interim appointment.
- (3) Per policy, continuation of standard pension and health and welfare benefits.
- (4) Per policy, an administrative fund will be established for official entertainment and other purposes permitted by University policy. Adjustments may occur annually as allowed by policy.
- (5) Ms. Lyall will comply with the Senior Management Group Outside Professional Activities (OPA) policy and reporting requirements.
- (6) This action will be effective July 1, 2022 through June 30, 2023, or until a new Secretary and Chief of Staff to the Regents is appointed, whichever occurs first.

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

B. *Approval of 2022 Benchmarking Framework/Market Reference Zones for Senior Management Group Positions*

- (1) The Committee recommended approval of the Market Reference Zones (MRZs) for the positions in the Senior Management Group located at the campuses, Lawrence Berkeley National Laboratory, UC Agriculture and Natural Resources, and the Office of the President, effective August 1, 2022, as shown in Attachment 6.
- (2) The Committee reported its approval of the 2022 benchmarking framework and resulting MRZs for the non-State-funded UC Health Senior Management Group positions as shown in Attachment 7. If approved by both the Health Services Committee and the Governance Committee, these MRZs will become effective on August 1, 2022.

C. *Resolution to Exclude Access to Federal Classified Information*

The Committee recommended that the resolution pertaining to the University's Facility Security Clearances be approved as shown in Attachment 8.

Upon motion of Vice Chair Elliott, duly seconded, the recommendations of the Governance Committee shown above were approved, Regents Anguiano, Blas Pedral, Cohen, Drake, Elliott, Hernandez, Leib, Makarechian, Ortiz Oakley, Park, Pérez, Pouchot, Reilly, Sherman, Sures, and Timmons voting "aye."

D. *Approval of 2022 Systemwide Salary Program Increases for Certain Level One Senior Management Group Employees and Two Employees in the Managers and Senior Professionals Personnel Program as Discussed in Closed Session*

The Committee recommended that the Regents approve the following items in connection with the 2022 systemwide salary program increases for certain Level One Senior Management Group employees and two employees in the Managers and Senior Professionals personnel program:

- (1) Per policy, a general increase of 4.5 percent of the base salary in effect as of June 30, 2022 for each Level One Senior Management Group (SMG) employee systemwide who is eligible for such an increase pursuant to Universitywide guidelines and any applicable UC location guidelines.

- (2) As an exception to policy, a general increase of 4.5 percent of the base salary in effect as of June 30, 2022 for each Office of the President employee in the Managers and Senior Professionals Personnel Program who is eligible for such an increase pursuant to Universitywide and UC location guidelines and for whom Regents' approval is required because the employee's total cash compensation exceeds the Indexed Compensation Level and the employee's resulting base salary will exceed the maximum of the salary range for the employee's position.
- (3) The general increase for the Laboratory Director, Lawrence Berkeley National Laboratory, will be effective October 1, 2022. The general increases for all other employees will be effective July 1, 2022 for employees paid monthly and June 26, 2022 for employees paid bi-weekly.

The resulting base salaries shall constitute the University's total commitment for base salary until modified by the Regents, President, or Chancellor, as applicable under Regents policy, and shall supersede all previous oral and written commitments. Compensation recommendations and final actions will be released to the public as required in accordance with the standard procedures of the Board of Regents.

Upon motion of Vice Chair Elliott, duly seconded, the recommendation in item D above of the Governance Committee was approved, Regents Anguiano, Blas Pedral, Cohen, Drake, Elliott, Hernandez, Leib, Makarechian, Ortiz Oakley, Pérez, Pouchot, Reilly, Sherman, Sures, and Timmons voting "aye" and Regent Park voting "no."

Report of the Health Services Committee

The Committee presented the following from its meeting of June 15, 2022:

A. ***Update from the Executive Vice President of UC Health***

This item was not summarized.

B. ***Community Benefit and Community Impact Annual Report***

This item was not summarized.

C. ***Update on UC Health Systemwide Working Group on Post-Acute Sequelae of SARS-CoV-2 infection (PASC)/Long-COVID, and Engagement with MEAction on Myalgic Encephalomyelitis/Chronic Fatigue Syndrome (ME/CFS)***

This item was not summarized.

D. ***UC Los Angeles Health Sciences Strategy, Los Angeles Campus***

This item was not summarized.

E. ***Update on Affiliations Policy Implementation***

This item was not summarized.

F. ***Dobbs v. Jackson Women’s Health Organization – Implications and Actions at the University of California***

This item was not summarized.

The Committee presented the following from its meeting of July 21, 2022:

G. ***Approval of 2022 Benchmarking Framework/Market Reference Zones for Non-State Funded UC Health Senior Management Group Positions***

The Health Services Committee reported its approval of the 2022 benchmarking framework and resulting Market Reference Zones (MRZs) for the non-State-funded UC Health Senior Management Group positions as shown in Attachment 9. If approved by both the Health Services Committee and the Governance Committee, these MRZs will become effective on August 1, 2022.

Upon motion of Regent Pérez, duly seconded, the recommendation of the Health Services Committee was approved, Regents Anguiano, Blas Pedral, Cohen, Drake, Elliott, Hernandez, Leib, Makarechian, Ortiz Oakley, Park, Pérez, Pouchot, Reilly, Sherman, Sures, and Timmons voting “aye.”

Report of the National Laboratories Committee

The Committee presented the following from its meeting of July 20, 2022:

Allocation of LLC Fee Income to Be Expended in Fiscal Year 2022–23

The Committee recommended that the President of the University be authorized to expend an estimated \$28.5 million from the University’s net share of Triad National Security, LLC (Triad) and Lawrence Livermore National Security, LLC (LLNS) income earned in the respective LLC 2022 fiscal years (FY),² as projected by the LLCs, for the purposes and in the amounts described below:

- A. An estimated \$1.6 million for the University’s contractually required share of compensation-related costs for LLC staff that are not reimbursed by the federal government under the prime contracts, including up to \$400,000 for the UC/Los Alamos National Laboratory (LANL) Entrepreneurial Postdoctoral Fellowship

² The University also remains a member of Los Alamos National Security, LLC (LANS), which managed Los Alamos National Laboratory through October 31, 2018. It is not expected that LANS will earn any appreciable net fee income during this next fiscal year.

Program. Any unspent funds allocated for this purpose will be transferred to the Capital and Campus Opportunity Fund (paragraph H).

- B. Consistent with the approved FY 2022–23 UCOP budget, an appropriation in the amount of \$7.55 million for FY 2022–23 to the Office of the President’s budget for federally unreimbursed costs of University oversight of its interests at LANL and Lawrence Livermore National Laboratory (LLNL), paid or accrued July 1, 2022 through June 30, 2023, including, but not limited to, an allocable share of the costs of the President’s Executive Office, the Provost, the Academic Senate, Human Resources, Compliance and Audit, Financial Accounting, UC National Laboratories (UCNL), Federal Governmental Relations, Office of Research and Graduate Studies, UC Legal, Office of the Secretary and Chief of Staff to The Regents, Office of the President (UCOP) facility charges, and the University-appointed Governors on the Boards of the LLCs. Any unspent funds allocated for this purpose will be transferred to the Capital and Campus Opportunity Fund (paragraph H).
- C. An appropriation in the amount of \$2.8 million to the LLNS/LANS Post-Contract Contingency Fund (PCCF) for FY 2022–23. Any income generated by the PCCF reserve fund under the University’s Short Term Investment Pool (STIP) shall be reserved exclusively for the PCCF. In the event that the actual LLC income varies from the \$28.5 million projection, the President is authorized to revise the allocation to the PCCF, up or down, in his discretion.
- D. No appropriation for FY 2022–23 to the fully funded LLC Fee Contingency Fund. Any income generated by the LLC Fee Contingency Fund under the University’s STIP shall be reserved exclusively for the LLC Fee Contingency Fund.
- E. An appropriation in the amount of \$10 million for FY 2022–23 for the UC Laboratory Fees Research Program and other research relevant to the missions of the National Laboratories and the University, including the UC-National Laboratory Graduate Student Fellowship Program. In the event all or part of this funding for the UC Laboratory Fees Research Program is not spent in FY 2022–23, the funding will be carried over to FY 2023–24 for the same purpose. In the event that the actual LLC income varies from the \$28.5 million projection, the President is authorized to revise this allocation, up or down, in his discretion.
- F. An appropriation in the amount of \$300,000 to fund the affiliation agreement between the University and the Livermore Lab Foundation (LLF). In the event all or part of this funding for LLF is not spent in FY 2022–23, the funding will be carried over to FY 2023–24 for the same purpose.
- G. An appropriation in the amount of \$1 million for FY 2022–23 for the Accelerating Therapeutic Opportunities for Medicine (ATOM) collaboration.

- H. An appropriation in the amount of \$2.5 million for FY 2022–23 for the Capital and Campus Opportunity Fund (CCOF). Consistent with the approved FY 2022–23 UCOP budget, the President is authorized to spend up to \$1.3 million of CCOF funds on the SoCal Hub initiative and \$200,000 of CCOF funds on the UC Postdoctoral Fellowship in Technology and International Security program, a collaboration of UCSD and UC-affiliated National Laboratories. Any income generated by this fund under the University’s STIP shall be reserved exclusively for this fund. In the event that the actual LLC income varies from the \$28.5 million projection, the President is authorized to revise the allocation to the CCOF, up or down, in his discretion.
- I. An appropriation in the amount of \$1.08 million in FY 2022–23 for the Triad Reserve Fund. Any income generated by this fund under the University’s STIP shall be reserved exclusively for this fund. In the event that the actual LLC income varies from the \$28.5 million projection, the President is authorized to revise the allocation to the Triad Reserve Fund, up or down, in his discretion.
- J. Consistent with the approved FY 2022–23 UCOP budget, an appropriation in the amount of \$1.67 million for FY 2022–23 for the purpose of business development, which would support the University’s efforts to explore and develop opportunities to participate in the management of one or more Department of Energy National Laboratories and other Federally Funded Research and Development Centers (FFRDCs) in addition to the three current UC-affiliated National Laboratories. Formal bids on specific National Laboratory or FFRDC contracts would be subject to further Regental approval. Any unspent funds appropriated for this purpose will be transferred to the Capital and Campus Opportunity Fund (paragraph H).

Regent Sures reported that the Committee was presented with a detailed plan of how the University would spend the \$28.5 million earned fee from managing Lawrence Livermore National Laboratory and Los Alamos National Laboratory.

Upon motion of Regent Sures, duly seconded, the recommendation of the National Laboratories Committee was approved, Regents Anguiano, Blas Pedral, Cohen, Drake, Elliott, Hernandez, Leib, Makarechian, Ortiz Oakley, Park, Pérez, Pouchot, Reilly, Sherman, Sures, and Timmons voting “aye.”

Report of the Public Engagement and Development Committee

The Committee presented the following from its meeting of July 20, 2022:

A. ***Advancing Public Service in Partnership with the State***

Regent Reilly reported that the Committee heard a presentation about the Californians for All College Corps, a partnership between the University and the State that would launch statewide later this year. Students would engage in public service and gain academic credit in the areas of climate action, food insecurity, and

tutoring and mentorship while subsidizing their tuition. The program aimed to create a debt-free pathway to a college education.

B. *Community Engagement in the Summer*

Regent Reilly reported that the Committee heard a presentation on the impact of UC campuses and programs on the surrounding communities during the summer. Presenters included representatives from University-Community Links, the California State Summer School for Mathematics and Science, the UC Natural Reserve System, as well as a student from UC Santa Cruz.

C. *State Governmental Relations Update*

Regent Reilly reported that the Committee heard an update on the 2022–23 State budget and several of the University’s key legislative priorities.

Report of the Special Committee on Innovation Transfer and Entrepreneurship

The Special Committee presented the following from its meeting of June 16, 2022:

A. *Update on Faculty Innovation and Recognition*

Regent Park reported that, per Regents’ recommendation, the Academic Senate reviewed the promotion and tenure process and chose not to make changes, because the current policy sufficiently addressed innovation and entrepreneurship. Provost Brown addressed a letter to chancellors encouraging support for innovation and entrepreneurship contributions by faculty.

B. *Update on Implementation of Regents Working Group Recommendation on Equity Management*

Regent Park reported that policy would be amended to extricate the equity management function from the Office of the Chief Investment Officer so that it could be given to the campuses, several of which were capable of managing their own equities as of this year.

C. *Innovation and Entrepreneurship in the Humanities and Social Sciences: Transforming Library Sciences*

Regent Park reported that the Special Committee endorsed a research project on transforming library sciences, a demonstration of innovation and entrepreneurship in an area that was not in a science, technology, engineering, and mathematics field.

D. *University of California Technology Commercialization Report*

Regent Park reported that the Special Committee wished to overhaul this report so that it could showcase all of UC's efforts in innovation and entrepreneurship.

E. *Update on Implementation of Regents Working Group Recommendation on Patent Tracking System*

Regent Park reported that the Special Committee looked forward to reviewing the Office of the President's plans to modernize the patent tracking system.

Report of the Special Committee on Nominations

The Special Committee presented the following from its meeting of July 20, 2022:

Appointment of a Regent to the Finance and Capital Strategies Committee and Appointment of Regents-Designate and Faculty Representatives as Advisory Members to Standing Committees for 2022–23

The Special Committee recommended that:

- A. ~~Regent Blas Pedral be appointed to the Finance and Capital Strategies Committee, effective immediately through June 30, 2023.~~
- B. Regents-designate be appointed as advisory members of Standing Committees, effective immediately through June 30, 2023, as follows:
- (1) Regent-designate Ellis be appointed as an advisory member of the Finance and Capital Strategies Committee, the Investments Committee, and the Public Engagement and Development Committee.
 - (2) Regent-designate Raznick be appointed as an advisory member of the Finance and Capital Strategies Committee, the National Laboratories Committee, and the Public Engagement and Development Committee.
 - (3) Contingent upon his appointment as student Regent for 2023–24, Regent-designate Tesfai be appointed as an advisory member of the Academic and Student Affairs Committee and the Public Engagement and Development Committee.
- C. Faculty Representatives be appointed as advisory members of Standing Committees, effective September 1, 2022 through August 30, 2023 as follows:
- (1) Faculty Representative Cochran be appointed as an advisory member of the Finance and Capital Strategies Committee, Compliance and Audit Committee, and National Laboratories Committee.

- (2) Faculty Representative Steintrager be appointed as an advisory member of the Academic and Student Affairs Committee, Public Engagement and Development Committee, and the Investments Committee.

Vice Chair Elliott explained that the recommendation was changed as Regent Blas Pedral would remain a member of the Academic and Student Affairs Committee.

Upon motion of Vice Chair Elliott, duly seconded, the recommendation of the Special Committee on Nominations was approved, Regents Anguiano, Blas Pedral, Cohen, Drake, Elliott, Hernandez, Leib, Makarechian, Ortiz Oakley, Park, Pérez, Pouchot, Reilly, Sherman, Sures, and Timmons voting “aye.”

9. **RESOLUTION IN APPRECIATION – ANNE L. SHAW**

Upon motion of Regent Pérez, the following resolution was adopted, Regents Anguiano, Blas Pedral, Cohen, Drake, Elliott, Hernandez, Leib, Makarechian, Ortiz Oakley, Park, Pérez, Pouchot, Reilly, Sherman, Sures, and Timmons voting “aye.”

WHEREAS, the Regents of the University of California wish to express their heartfelt appreciation and deep affection to Anne L. Shaw upon the occasion of her retirement as Secretary and Chief of Staff to The Regents; and

WHEREAS, she has provided nearly four decades of devoted service in the Office of the Regents, loyally fulfilling the responsibilities of interim secretary twice before her appointment as Secretary and Chief of Staff to the Regents in 2014; and

WHEREAS, she has served the Board and the University with professionalism, diplomacy, and unwavering integrity, providing the Regents with wise counsel and astute guidance in all aspects of Board governance, serving as a liaison between the Regents and the Office of the President, fostering a collegial relationship with the President, administration, and campus Chancellors, serving as a steward of the public trust, and ensuring smooth and efficient operations of the Board of Regents; and

WHEREAS, in the face of the unprecedented challenges posed by a global pandemic, she successfully steered the rapid shift of Regents meetings to an online format, resulting in a seamless transition that maintained the Board’s commitment to transparency and accessibility to the public, and during her tenure, she initiated policy changes that expanded public comment and increased student participation at Board meetings, to the lasting benefit of the University and the people of California; and

WHEREAS, the Regents will sorely feel the loss of her phenomenal memory, her invaluable knowledge as a repository of institutional history, her understanding of the subtleties and complexities of the processes of the Board of Regents and University of California policy, and the research skills that she brought to bear as an alumna of the University of California, Berkeley, School of Library and Information Studies on her duties as Secretary and Chief of Staff to the Regents; and

WHEREAS, in recognition of her devoted and steadfast commitment to the Board of Regents and the University of California community, the Regents do hereby confer upon Anne L. Shaw the title, Secretary and Chief of Staff Emerita;

NOW, THEREFORE, BE IT RESOLVED that the Regents of the University of California commend Anne Shaw for her lifetime of remarkable and distinguished service to the Regents and express their highest regard for her, for her tireless and selfless efforts on behalf of the University, and for her calm, unflappable demeanor;

AND BE IT FURTHER RESOLVED that the Regents wish Anne a well-deserved retirement and great personal fulfillment as she begins a new chapter in her life, and direct that a suitably inscribed copy of this resolution be presented to her as an expression of the Regents' admiration, warm regard, and lasting esteem.

Regent Pérez recalled that Anne Shaw had served ably in a variety of roles at the University, but he recalled in particular her service as Secretary and Chief of Staff to The Regents. For almost 40 years, she was an enormous resource for the Board and the entire University. She was effective, creative, and able to seamlessly overhaul an entire system of meetings and communications at a moment's notice. In her response to the COVID-19 pandemic, she worked to keep everyone safe and managed to increase opportunities for public participation in meetings, which would be a lasting legacy. Two days before the first meeting in the COVID era, Regent Pérez expected that the Regents would meet in person, but the public health situation continually changed, and the requirements for holding the meeting in person altered every few hours. Ms. Shaw and her team managed the situation, ensuring the technical support necessary for the meeting to proceed online. The Regents were one of the first major public agencies in the state to move to Zoom teleconference meetings. Ms. Shaw managed all this, ensured that the Regents maintained their public-facing approach, and expanded ways for the public to engage in meetings. Her response to COVID was outstanding, but this was consistent with all her work for the Board for many years. He thanked Ms. Shaw and her team for how they supported each Board Chair, keeping the Chair focused on the work of the Board and the work of the institution, but with an approach that was tailored to each Chair so that there was close coordination. On behalf of the Board, Regent Pérez expressed sincere appreciation for her lifetime of commitment to the University. The Regents would find a successor to Ms. Shaw, but they could not find a replacement for her.

10. **REPORT OF MATERIALS MAILED BETWEEN MEETINGS**

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

To the Regents of the University of California:

- A. From the President of the University, a letter outlining the Governor of California's 2022-23 May Revision budget plan. May 13, 2022.

- B. From the Associate Vice President, External Relations and Communications, Federal Update, 2022, Issue 5. May 26, 2022.
- C. From the Secretary and Chief of Staff to the Regents, the Summary of Communications Received for April, 2022. May 27, 2022.
- D. From the Senior Vice President, External Relations and Communications, an update on UC's advocacy campaign to double the Pell Grant maximum award. June 6, 2022.
- E. From the President of the University, a letter from the Academic Senate Chair announcing a Senate Memorial on reducing fossil fuel combustion. June 9, 2022.
- F. From the President of the University, a letter announcing that the California State Legislature passed the Budget Act of 2022 and providing details regarding the funding to the University. June 13, 2022.
- G. From the Chief Investment Officer, an update on the UC Investments portfolio as of June 15, 2022. June 17, 2022.
- H. From the President of the University, a statement regarding the United States Supreme Court's decision in *Dobbs v. Jackson Women's Health Organization*. June 24, 2022.
- I. From the Associate Vice President, External Relations and Communications, Federal Update, 2022, Issue 6. June 28, 2022.
- J. From the Secretary and Chief of Staff to the Regents, the 2022–23 membership of the Special Committee on Innovation Transfer and Entrepreneurship. June 29, 2022.
- K. From the President of the University, the *Annual Report on Undergraduate Admissions Requirements and Comprehensive Review* for the fall 2021 admissions cycle. June 29, 2022.
- L. From the President of the University, information regarding the Governor's 2022–23 State budget. July 1, 2022.

To the Members of the Finance and Capital Strategies Committee:

- M. From the President of the University, the *Significant Information Technology Projects Report* for the period January 1 through April 30, 2022. July 6, 2022.

The meeting adjourned at 3:40 p.m.

Attest:

Secretary and Chief of Staff

Attachment 1 – Proposed Amendment of Regents Policy 2102 – Policy on Undergraduate Admissions (blackline; underscore version)

Additions shown by underline or double underline; deletions shown by strikethrough. The text in *italics* was moved from another Regents Policy.

Regents Policy 2102: Policy on Undergraduate Admissions

Adopted May 20, 1988

The undergraduate admissions policy of the University of California is guided by the University's commitment to serve the people of California and the needs of the state, within the framework of the California Master Plan for Higher Education.

The Regents authorize and instruct the administration of the University to administer admissions policy in such a manner as to enroll the largest possible number of qualified students consistent with the maintenance of the quality of instruction.

The entrance requirements established by the University follow the guidelines set forth in the Master Plan, which requires that the top one-eighth of the state's high school graduates, as well as those transfer students who have successfully completed specified college work, be eligible for admission to the University of California. These requirements are designed to ensure that all eligible students are adequately prepared for University-level work.

Mindful of its mission as a public institution, the University of California has an historic commitment to provide places within the University for all eligible applicants who are residents of California. The University seeks to enroll, on each of its campuses, a student body that, beyond meeting the University's eligibility requirements, demonstrates high academic achievement or exceptional personal talent, and that encompasses the broad diversity of cultural, racial, geographic, and socioeconomic backgrounds characteristic of California.

Because applicant pools differ among the campuses of the University, each campus shall establish procedures for the selection of applicants to be admitted from its pool of eligible candidates. Such procedures shall be consistent with the principles stated above and with other applicable University policies.

I. Guidance

A. All Undergraduates

1. Comprehensive Review

Campuses shall institute a comprehensive review process by which students applying to the University are evaluated for admission using multiple measures of achievement and promise while considering the context in which each student has demonstrated academic accomplishment.

Comprehensive review shall be used fairly, and shall comply with applicable state and federal law. The Regents expect the Office of the President, in consultation

with the Academic Senate, to exercise leadership in the realization of best practices in undergraduate admissions.

Each campus shall establish a comprehensive review process in accordance with Comprehensive Review Guiding Principles defined in the Guidelines for Implementation of University Policy on Undergraduate Admission, but practices may vary in terms of how campuses implement each of these main elements.

University of California campuses must remain committed to recruiting students from the full range of California high schools, community colleges, and regions in order to achieve the University's educational mission for California.

2. Holistic Review

A holistic approach is one implementation of Comprehensive Review. In a holistic review, a trained application reader produces a score based on a thorough evaluation of all the information and achievements in the applicant's file in relation to opportunities and challenges present. No single factor is given a fixed weight and applicants' academic and personal achievements are balanced with other pertinent qualifications in the context of the resources and opportunities available to them.

The Regents direct the President, in consultation with the Academic Senate and campus admissions professionals, to ensure that all applicants receive such an individualized holistic review, while allowing flexibility for campuses to demonstrate that alternate approaches employed by campuses are equally effective in achieving campus and University goals based on the campus's level of selectivity, demand and capacity.

B. First-Year Students

1. Academic Achievement and Preparation

First-year applicants will be required to complete a minimum of 15 high school year-long courses to be taken during grades 9 through 12. These fifteen must be academic or college preparatory courses approved by the University and consisting of courses in a) history/social science (2 courses); b) English (4 courses); c) mathematics (3 courses including elementary algebra, geometry, and intermediate algebra); d) laboratory science (2 courses to be taken from two disciplines); e) foreign language (2 courses); f) visual and performing arts (1 course); and g) college preparatory elective courses (1 course, to be chosen from the fields listed above).

Eleven academic or college preparatory courses must be completed by the end of the 11th grade. At least seven must be taken during the last two years of high school.

The minimum grade point average required for resident students is 3.0 and 3.4 for nonresident applicants (weighted up to 8 semester honors courses) or its equivalent for alternative grading scales.

All first-year resident applicants who meet these criteria will be entitled to a comprehensive review of their admission application at each UC campus to which they apply, but will not be guaranteed admission to any UC campus unless they meet the conditions to be Eligible in the Statewide context or Eligible in the Local Context, as defined in Paragraph B(3) below.

2. Test Scores

- a. Scores from the SAT/ACT shall not be used as part of the University's comprehensive review process described above. (Effective beginning fall 2021 admission.)
- b. Approval of future standardized tests for admissions and scholarships shall be determined by the Academic Senate through its Board of Admissions and Relations with Schools and approved by the Regents. The minimum scores acceptable shall be determined by the Academic Senate through its Board of Admissions and Relations with Schools (BOARS).

3. Eligible in the Statewide Context and Eligible in the Local Context

UC is committed to ensuring enrollment opportunities for all qualified California high school graduates.

- The top nine percent of California high school graduates will be determined as Eligible in the Statewide Context by criteria set by the Academic Senate.
- The top nine percent of California high school graduates in each participating high school will be identified as Eligible in the Local Context (ELC).
- First-year applicants deemed Eligible in the Statewide Context or Eligible in the Local Context who are not admitted to any campus where they apply will be offered the opportunity to enroll at a UC campus with available space.

Students identified as Eligible in the Statewide Context or Eligible in the Local Context shall complete the University's course requirements with the minimum GPA listed above by the end of their senior year in high school to be deemed fully eligible to enroll.

C. Advanced Standing (Transfer) Students

1. Academic Achievement and Preparation

Advanced Standing applicants are required to complete a minimum set of transferable courses as specified by the Academic Senate.

The minimum grade point average in UC-transferable college courses is 2.4 for residents and 2.8 for nonresidents.

2. California Community College Transfers

Under the framework of the California Master Plan for Higher Education, campuses will give priority consideration to California community college students applying for admission with advanced standing juniors who have completed a minimum of 60 semester (90 quarter) units of transferable college course work.

D. Undergraduate Admissions by Exception to Eligibility

Campuses have the flexibility to admit a small proportion of California students by exception to the Academic Achievement and Preparation requirements listed above in section B(1) in order to achieve the policy goals of the Regents, as detailed in the Guidelines for Implementation of University Policy on Admission by Exception for California Residents.

The proportion of students admitted by exception shall be up to 6 percent of newly enrolled freshmen and up to 6 percent of newly enrolled advanced standing students at each campus. Within the 6 percent designations, up to 4 percent may be drawn from disadvantaged students and up to 2 percent from other students. Disadvantaged students shall be defined as students from low socio-economic backgrounds or students having experienced limited educational opportunities.

Students admitted by exception to the eligibility requirements must demonstrate a reasonable potential for success at the University. In evaluating the academic and personal background of candidates for admission by exception, it is recommended that campuses utilize a combination of the Comprehensive Review criteria as outlined in the Guidelines for Implementation of University Policy on Undergraduate Admissions.

E. Admission of Nonresident Undergraduate Students

To the fullest extent possible, campuses should employ the same criteria for the admissibility of nonresident students as those employed for resident students.

Grade Point Average for nonresident admits should be comparable to resident admits when available and applicable with a minimum 3.4 GPA. Overall, the high school curriculum for nonresident admits should be commensurate with resident admits.

The campus Academic Senate admissions committee shall work with the local campus administration and, if needed, BOARS and systemwide administration, to ensure that admitted nonresident undergraduate students compare favorably to admitted California resident undergraduate students at the same campus.

F. Academic Verification

The academic verification process is designed to ensure the integrity of the University's admissions process by verifying the credentials of the students it admits. The academic verification process will be used for no other purpose than confirming the qualifications of new students for admission to the University regardless of whether a campus anticipates meeting its undergraduate enrollment target for any given term.

As detailed in the [Academic Verification Guidance Document], campuses will formally notify all new students multiple times that their admission may be withdrawn if they do not submit all necessary documents to confirm their academic qualifications for admission. In addition, all campuses must provide an appeal process for any student whose admission has been withdrawn for non-receipt of official documents.

II. Governance

A. Prohibition of Preferential Treatment

The University of California does not provide preferential treatment in admission on the basis of an applicant's relationship to University alumni or donors. University of California campuses may not consider an applicant's affiliation(s) with alumni, donors, staff, faculty, or other employees of the University during the admission process.

B. Prohibition of Interference

Per Regents policies 2201 and 2202, individual Regents, elected officials or other parties motivated by concerns for financial, political or other such benefit to the University do not have a place in the admissions process and must not attempt to influence admissions decisions.

C. Reporting

The Academic Senate, through its Board of Admissions and Relations with Schools (BOARS), will review and report annually on the Comprehensive Review policies; and based on the results of these reports, the Academic Senate should periodically consider recommending adjustments to the eligibility policy.

Attachment 2 – Proposed Amendment of Regents Policy 2110 – Policy on Augmented Review in Undergraduate Admissions (blackline; underscore version)

*Additions shown by underline or double underline; deletions shown by strikethrough. The bullets in *italics* were moved to/from another section of the policy.*

Regents Policy 2110: Policy on Augmented Review in Undergraduate Admissions

Approved July 13, 2017

Overview of the Augmented Review Process

~~The augmented review process is designed to provide~~ Campuses may request an additional review for a select pool of applicants who fall in the margins for admission, but whose initial application yields an incomplete picture of their qualifications, or presents extraordinary circumstances that invite further comment. Applicants, for example, might demonstrate special talents, potential, or accomplishments in specific areas that promise to contribute to the educational environment of the campus, but may require further explication. Or, the information provided on an application may fail to adequately explain the impact of what appear to be major disadvantages that the applicant has encountered.

~~The Academic Senate may determine a~~A range of potential selection criteria for Augmented Review ~~are described in the “Criteria for Referral” section below. Consistent,~~ consistent with the Guiding Principles⁺ for Comprehensive Review the faculty have articulated for undergraduate admissions, ~~applicants.~~ Applicants referred for the Augmented Review process must demonstrate levels of academic preparation and personal qualities that indicate a reasonable chance for academic success given the available support services on the admitting campus.

Admissions readers and officers should use their professional judgment to identify potential candidates for Augmented Review during the initial review process. They should also select from among the candidates a pool of applicants from whom supplemental information items can be solicited to better inform an admissions decision. The Augmented Review pool should be limited in size to no more than 15 percent of all applicants.

Candidates are invited to submit one or more of the following supplemental information items:

1. A questionnaire that requires paragraph length narrative responses and that allows Augmented Review candidates to provide additional details concerning their special talents and accomplishments, extraordinary circumstances, and school and home environment.
2. Seventh-semester high school grades, or equivalent most recent grades.
3. Up to two letters of recommendation, or other input from third parties, such as a teacher, counselor, coach, program coordinator, or anyone familiar with the

⁺The most recent version of the "Guidelines for Implementation of University Policy on Undergraduate Admissions" can be found on the Senate's website.

candidate's academic background and extracurricular skills/talents. Letters of recommendation should focus on both cognitive and psycho-social abilities of candidates.

Note: Letters of recommendation can be requested only for applicants selected for augmented review, and applicants considered for admission by exception, and/or applicants given a special review.²

Criteria for Referral to Augmented Review

~~If Augmented Review is to be used, admissions readers and officers should depend on their professional judgement to evaluate each applicant on a full range of selection criteria, using all of the application information available in the context of opportunity and demonstrated capacity to contribute to the campus. While the referral criteria for Augmented Review outlined below aim to cover likely circumstances that admissions readers and officers might encounter, they may not capture every possible applicant experience that might warrant an additional review. It is therefore imperative that admissions readers and officers use their professional judgement in these circumstances.~~ The criteria for referring an applicant for Augmented Review include at least one of the following:

1. Evidence of focus on an area of special talent which may have limited a student's time to participate in a broader range of activities.
2. Evidence of character traits that imply a strong likelihood of making a significant contribution to campus life.
3. Evidence of significant academic achievement or the potential for academic achievement at the University in spite of extraordinary or compound disadvantage or learning difference, or physical disability or other unusual circumstances.
4. Evidence of significant improvement in the academic record accompanied by one or both of the following: (1) reasons for the initial poor performance; and (2) sustained and in-depth participation in educational outreach programs, which demonstrate the applicant's commitment to succeed academically within a challenging environment.
5. Evidence of relative lack of access to, counseling about, or support to take college preparatory, honors, Advanced Placement (AP),² or International Baccalaureate (IB) classes ~~or required college entrance examinations.~~

~~This policy will take effect for the 2018-19 admissions cycle. While the referral criteria for Augmented Review outlined above aim to cover likely circumstances that admissions readers and~~

² ~~Students applying to a major, school, or college that already has a long-standing supplemental application requirement, may be required to submit a letter of recommendation, in addition to the general application for undergraduate admission. Such supplemental applications have also included questionnaires, transcripts, narrative statements, interviews, auditions, and/or portfolios, but only very rarely require letters of recommendation. Such programs typically focus on the creative arts, performance arts, and nursing.~~

officers might encounter, they may not capture every possible applicant experience that might warrant an additional review. It is therefore imperative that admissions readers and officers use their professional judgement in these circumstances.

Students applying to a major, school, or college that already has a long-standing supplemental application requirement, may be required to submit a letter of recommendation, in addition to the general application for undergraduate admission. Such supplemental applications have also included questionnaires, transcripts, narrative statements, interviews, auditions, and/or portfolios, but only very rarely require letters of recommendation. Such programs typically focus on the creative arts, performance arts, and nursing.

Attachment 3 – Proposed Rescission of Regents Policy 2101 – Policy on Admissions, Regents Policy 2103 – Policy on Undergraduate Admissions Requirements, Regents Policy 2104 – Policy on Comprehensive Review in Undergraduate Admissions, Regents Policy 2105 – Policy on Undergraduate Admissions by Exception, Regents Policy 2108 – Resolution Regarding Individualized Review and Holistic Evaluation in Undergraduate Admissions, and Regents Policy 2111 – Policy on Academic Verification

~~Regents Policy 2101: Policy on Admissions~~

~~Approved February 16, 1967~~

~~The Regents authorize and instruct the administration of the University to administer admissions policy in such a manner as to admit the largest possible number of qualified students consistent with the maintenance of the quality of instruction.~~

Regents Policy 2102: Policy on Undergraduate Admissions

Adopted May 20, 1988

The undergraduate admissions policy of the University of California is guided by the University's commitment to serve the people of California and the needs of the state, within the framework of the California Master Plan for Higher Education.

The entrance requirements established by the University follow the guidelines set forth in the Master Plan, which requires that the top one-eighth of the state's high school graduates, as well as those transfer students who have successfully completed specified college work, be eligible for admission to the University of California. These requirements are designed to ensure that all eligible students are adequately prepared for University-level work.

Mindful of its mission as a public institution, the University of California has an historic commitment to provide places within the University for all eligible applicants who are residents of California. The University seeks to enroll, on each of its campuses, a student body that, beyond meeting the University's eligibility requirements, demonstrates high academic achievement or exceptional personal talent, and that encompasses the broad diversity of cultural, racial, geographic, and socioeconomic backgrounds characteristic of California.

Because applicant pools differ among the campuses of the University, each campus shall establish procedures for the selection of applicants to be admitted from its pool of eligible candidates. Such procedures shall be consistent with the principles stated above and with other applicable University policies.

Regents Policy 2103: Policy on Undergraduate Admissions Requirements

Approved June 18, 1982

Amended May 18, 1990, March 19, 1999, September 23, 2004, September 22, 2005, and February 5, 2009

Regents Policy 2103 has been partially superseded by a [May 2020 action by the Board of Regents \(pages 26-37\)](#).

A. Academic Achievement

- (1) ~~Freshman applicants will be required to complete a minimum of 16 high school year-long courses to be taken during grades 9 through 12. Of these, at least fifteen must be academic or college preparatory courses approved by the University and consisting of courses in a) history/social science (2 courses); b) English (4 courses); c) mathematics (3 courses including elementary algebra, geometry, and intermediate algebra); d) laboratory science (2 courses to be taken from two disciplines); e) foreign language (2 courses); f) visual and performing arts (1 course); and g) college preparatory elective courses (1 course, to be chosen from the fields listed above) (As amended March 19, 1999). Eleven academic or college preparatory courses must be completed by the end of the 11th grade. At least seven must be taken during the last two years of high school;~~
- (2) ~~The GPA shall reflect:
 - a. ~~Grades in all approved a-g courses taken in the 10th and 11th grade; and~~
 - b. ~~Extra grade points for grades received in approved honors level courses to a maximum of four courses, including a maximum of two courses taken in the 10th grade (As amended May 18, 1990). The extra points are to be calculated on a scale of A=5, B=4, C=3.~~
 - c. ~~Effective for freshmen entering the University in fall 2007, the minimum grade point average required for students Eligible in the Statewide Context and Eligible in the Local Context shall be increased to 3.0 (As amended September 23, 2004).~~~~
- (3) ~~Transfer applicants will be required to complete the equivalent of freshman entrance requirements in English and mathematics, effective with respect to applicants for Fall Quarter 1984.~~
- (4) ~~Test Scores
 - a. ~~Applicants for admission as freshmen must submit scores on an approved test of Mathematics, Language Arts, and Writing.~~
 - b. ~~The applicant must also submit scores for approved supplementary subject matter tests to be taken in two different "a-f" subject areas listed in paragraph A(1). This requirement shall become inoperative and is repealed effective with the application and admissions process for fall 2012.~~
 - c. ~~Approval of tests shall be determined by the Academic Senate through its Board of Admissions and Relations with Schools. The minimum scores acceptable shall be~~~~

determined by the Academic Senate through its Board of Admissions and Relations with Schools.

~~B. Entitled to Review~~

~~Effective for students entering in fall 2012, all freshman applicants who meet the Academic Achievement criteria described in Paragraph A(1), (2) and (4) will be entitled to review (ETR) at each UC campus to which they apply, but will not be guaranteed admission to any UC campus as a result of their ETR status (see Policy on Comprehensive Review in Undergraduate Admissions.)~~

~~C. Students Eligible in the Statewide Context and Eligible in the Local Context~~

- ~~(1) Effective for students entering UC as freshmen for fall 2001, four percent of the eligible students will be identified on the basis of superior academic performance in the context of their own high school as Eligible in the Local Context. This subparagraph shall become inoperative and is repealed effective with the application and admissions process for fall 2012.~~
- ~~(2) Effective for students entering in fall 2012, freshman applicants who meet the Academic Achievement criteria described in Paragraph A (1), (2) and (4) and whose combined high school GPA and test scores would place them in the top nine percent of California public high school graduates will be identified as Eligible in the Statewide Context.~~
- ~~(3) Effective for students entering UC as freshmen for fall 2012, students in each participating California high school who are in the top nine percent of their class at the end of the 11th grade and meet the requirements described in A(1) and (2) will be identified as Eligible in the Local Context.~~
- ~~(4) Freshman applicants deemed Eligible in the Statewide Context or Eligible in the Local Context who are not admitted to any campus where they apply will be offered admission at a UC campus with available space.~~
- ~~(5) Students identified as Eligible in the Statewide Context or Eligible in the Local Context shall complete the University's course and test-taking requirements by the end of their senior year in high school to be deemed fully eligible to enroll.~~

~~D. Reporting~~

- ~~(1) The Academic Senate, through its Board of Admissions and Relations with Schools (BOARS) will evaluate and report annually and at five year intervals on the academic and fiscal impact of this policy; and~~
- ~~(2) Based on the results of these ongoing studies, the Academic Senate should periodically consider recommending adjustments to the guarantee structure.~~

Regents Policy 2104: Policy on Comprehensive Review in Undergraduate Admissions
Approved November 15, 2001

~~Effective for students entering UC for Fall 2002, The Regents' policy expressed in the 1995 SP-1 resolution (Policy Ensuring Equal Treatment Admissions) and referenced in the 2001 RE 28 resolution (Future Admissions, Employment, and Contracting Policies—Resolution Rescinding SP-1 and SP-2) will be modified to eliminate the provision that no less than 50 percent and no more than 75 percent of the regularly admitted class be admitted solely on the basis of academic achievement and institute a comprehensive review process by which students applying to UC campuses are evaluated for admission using multiple measures of achievement and promise while considering the context in which each student has demonstrated academic accomplishment.~~

~~There shall be an annual review and reporting to The Regents of the effect of this action and, in approving the action, the Board of Regents states that these comprehensive review policies shall be used fairly, shall not use racial preferences of any kind, and shall comply with Proposition 209.~~

Regents Policy 2105: Policy on Undergraduate Admissions by Exception

Issued by the Office of the President

July 1996

It is the policy of the University of California that:

1. ~~It is essential that its campuses have the flexibility to admit a small proportion of students by exception to the eligibility requirements.~~
2. ~~Students admitted by exception to the eligibility requirements must demonstrate a reasonable potential for success at the University.~~
3. ~~The proportion of students admitted by exception shall be up to 6 percent of newly enrolled freshmen and up to 6 percent of newly enrolled advanced standing students at each campus.~~
4. ~~Within the 6 percent designations, up to 4 percent may be drawn from disadvantaged students and up to 2 percent from other students.~~
5. ~~Disadvantaged students shall be defined as students from low socio-economic backgrounds or students having experienced limited educational opportunities.~~
6. ~~The percentages in (3) and (4) above shall be understood as limits within which Chancellors can exercise their initiative to further the goals specified in the University of California Policy on Undergraduate Admissions adopted by The Regents on May 20, 1988 and in Section 9 of SP-1, Policy Ensuring Equal Treatment Admissions, endorsed by The Regents on July 21, 1995, subject to the constraints of this policy and of Sections 2 and 3 of SP-1.~~
7. ~~In evaluating the academic and personal background of candidates for admission by exception it is recommended that campuses utilize a combination of the criteria 1 through 13 outlined in the revised Guidelines for Implementation of University Policy on Undergraduate Admissions, issued in July, 1996.~~
8. ~~The Admissions by Exception program continue to be used systematically to test alternative methods of selecting students for admission.~~

~~This policy shall be effective with applicants seeking admission for the spring quarter of the 1997-1998 academic year.~~

Regents Policy 2108: Resolution Regarding Individualized Review and Holistic Evaluation in Undergraduate Admissions

Approved January 20, 2011

WHEREAS, the University of California is committed to achieving excellence and inclusiveness in its undergraduate student body; and

WHEREAS, in May 1988, the Regents adopted a Policy on Undergraduate Admissions that states in part that “Mindful of its mission as a public institution, the University of California...seeks to enroll, on each of its campuses, a student body that demonstrates high academic achievement or exceptional personal talent and that encompasses the broad diversity of...backgrounds characteristic of California;” and

WHEREAS, in 2002, the University, acting on the recommendation of the Academic Senate, implemented an application evaluation procedure that calls for campuses to utilize a broad range of criteria to assess each applicant’s academic and personal achievement in the context of opportunities; and

WHEREAS, proper evaluation of applicants’ achievements in the context of opportunity requires that information about their schools and community be available in a uniform manner, and several campuses have made considerable progress in accomplishing this through the use of extensive school-based information; and

WHEREAS, evaluation of applicants’ achievements in the context of opportunities and challenges requires that a trained reader examine the entire application in considering personal achievements, challenges, leadership, and contributions to applicants’ communities alongside context information; and

WHEREAS, a form of Comprehensive Review in which the reader produces a single holistic score based on all information in the applicant’s file has been shown to thoroughly evaluate each applicant’s achievement in relation to opportunities and challenges; and

WHEREAS, the Regents expect the Office of the President, in consultation with the Academic Senate and local admissions committees, to exercise leadership in the realization of best practices in undergraduate admissions;

NOW, THEREFORE, BE IT RESOLVED that the Regents direct the President, in consultation with the Academic Senate and campus admissions professionals, to ensure that all applicants receive an individualized review that ensures trained readers examine applicants’ full files to evaluate their accomplishments in the context of opportunity;

BE IT RESOLVED that the Regents direct the President, in consultation with the Academic Senate and campus admissions professionals, to continue to research and develop a database to be used with the human read of every application that provides background on the available opportunities and challenges faced by the applicant within his or her school and community;

~~BE IT RESOLVED that the Regents direct the President, in consultation with the Academic Senate, to affirm that single-score holistic evaluation is the expected implementation of Comprehensive Review, while allowing flexibility for campuses that can demonstrate that alternate approaches employed by their campuses are equally effective in achieving campus and University goals;~~

~~BE IT RESOLVED that University of California campuses must remain committed to recruiting students from the full range of California high schools and regions in order to achieve the potential of the University's admission policy for California's students;~~

~~AND BE IT FURTHER RESOLVED that the Regents direct the President to annually report to the Board on the progress of these initiatives on each campus.~~

Regents Policy 2111: Policy on Academic Verification

Approved January 25, 2018

- ~~1. The academic verification process will be used for no other purpose than confirming the qualifications of new students for admission to the University regardless of whether a campus anticipates meeting its undergraduate enrollment target for any given term.~~
- ~~2. All campuses will send at least two direct communications prior to the July 1 deadline.~~
- ~~3. Campuses will send notices via mail to the applicant's current postal address and/or attempt to make direct contact to encourage students to follow through on the final steps prior to enrollment.~~
- ~~4. The University will maintain at least a two-week grace period after published deadlines and send a minimum of two direct reminder communications prior to taking any action on new students who have not completed the steps to enrollment.~~
- ~~5. Campuses will consider alternative practices before withdrawing a student's admission, such as placing a hold on enrollment.~~
- ~~6. Campuses will review other indicators of students' enrollment commitment to assess their likelihood of enrolling in the fall and targeting any additional outreach efforts. These indicators could include, but are not limited to, participation in an orientation program, submitting a housing deposit, or registering for classes.~~
- ~~7. Notification of withdrawal of admission will include clear instructions and deadlines for appeals.~~

Compliance Plan for 2022-23

July 20, 2022



Compliance Plan

COMPLIANCE RISK ASSESSMENT RESULTS

ECAS identified the following compliance risk priorities for 2022-23 through the systemwide risk assessment process.

	EXPORT CONTROL	RESEARCH	HEALTHCARE	PRIVACY	GENERAL COMPLIANCE
TOP RISKS	<ul style="list-style-type: none"> • Research Security • Restricted Party Screening 	<ul style="list-style-type: none"> • Foreign Influence / Research Security • Conflicts of Interest/ Commitment 	<ul style="list-style-type: none"> • Revenue Cycle Compliance • Clinical Data Security 	<ul style="list-style-type: none"> • Data Management – Classification, Mapping, Minimization 	<ul style="list-style-type: none"> • Clery Act
	<ul style="list-style-type: none"> • International Shipping • International Collaborations and Economic Trade Sanctions (OFAC) • International Travel • Hosting foreign visitors • International Traffic in Arms Regulations (ITAR) • Export Administration Regulations (EAR) 	<ul style="list-style-type: none"> • Resource/Funding • Research Data Security/Privacy • Clinical Research • Contracts & Grants reporting • IP/Patent Control • Cybersecurity Maturity Model Classification (CMMC) requirements 	<ul style="list-style-type: none"> • Health/Research Data Governance & Privacy • Conflicts of Interest/ Commitment – Clinical Setting • Drug Diversion • Telehealth • Student Health/Counseling 	<ul style="list-style-type: none"> • Artificial Intelligence and Machine Learning • Information Security Policy Compliance • Data Subject Privacy • Integrated Security & Privacy Assessment of Vendors 	<ul style="list-style-type: none"> • ADA/Disability • Lab Safety • Emergency Management • Child Abuse and Neglect Reporting Act (CANRA) • National Collegiate Athletic Association (NCAA) Compliance

Compliance Plan

EXPORT CONTROL PROGRAM

UC is at the forefront of research and innovation, and many aspects of our operations include an international component that requires export control considerations. Export control laws prohibit the unlicensed transfer of certain materials or information for reasons of national security or protection of trade. ECAS provides general export control support and advice to UC locations. The Empowered Official in ECAS ensures compliance with the International Traffic in Arms Regulations (ITAR) administered by the Department of State.

Identified Risk

- Global conflict has created new sanctions and technology restrictions for UC.

Major Initiative

Evaluation of Systemwide Shipping Software Tool

- The shipment of items, information or software outside the U.S. may create export control risks. ECAS' Export Control Office will evaluate the various shipping practices throughout the system and recommend options to reduce compliance risks and create cost-savings for the system.

Training

Advanced Training for Export Control and Agreements Officers

- ECAS will create a series of export control courses to strengthen systemwide Export Control Officers' skills in areas such as technology and software controls, end-user controls and license exceptions.
- ECAS will create a maturing risk assessment framework to support Procurement and Agreement Officers in identifying transactions requiring export control and license review, focusing on technology controls, restricted parties and destination concerns.

Collaboration with Federal Agencies

- ECAS will continue to actively partner with the Bureau of Industry and Security (BIS) and State Department, including providing joint presentations and trainings.

Compliance Plan

RESEARCH SECURITY PROGRAM

ECAS is closely monitoring impacts of the White House Office of Science & Technology Policy (OSTP) issued National Security Presidential Memo 33 (NSPM-33). This memo provides best practices to sponsoring agencies on addressing undue foreign influence at institutions of higher education that receive federal research funding. ECAS has been closely monitoring developments in this area since January 2022 to better prepare UC.

Identified Risk

- NSPM-33 will require UC to develop and certify research security programs in order to qualify for federal research funds.

Major Initiative

Research Security Forum

- ECAS will lead a systemwide partnership to coordinate research security program requirements initiated by federal sponsors and resulting implications to the UC research enterprise.

Training

Building Outreach and Awareness Related to Program Awareness

- ECAS will develop a research security program awareness training covering disclosure requirements, export control key issues, international travel and security risk awareness.

Collaboration with Federal Agencies

- ECAS will collaborate with the White House Office of Science Technology Policy Working Group regarding NSPM-33 to share UC best practices.

Compliance Plan

RESEARCH COMPLIANCE PROGRAM

The federal government heavily regulates the basic and applied research conducted at UC. Regulations come from various entities including: the Food and Drug Administration (FDA), Department of Health and Human Services (HHS), Health Information Portability and Accountability Act (HIPAA), National Science Foundation (NSF) and National Institutes of Health (NIH). ECAS routinely collaborates with research offices across the UC system towards programmatic research compliance oversight with risk assessments, monitoring, training and awareness.

Identified Risks

- Oversight of mandatory public disclosures for clinical trials, use of artificial intelligence in software as medical devices, oversight of controlled substances in research, human subjects research protections and research subject data privacy.

Major Initiative

Creation of a Conflict of Interest and Conflict of Commitment Disclosure Portal

- ECAS and the Office of Research, Policy, Analysis and Coordination (RPAC) will review current research disclosure practices in an effort to design a systemwide conflict of interest and conflict of commitment disclosure portal to reduce administrative burden on faculty while improving research disclosures.

Training

Federal Grant Disclosure Requirements Training

- ECAS will create training material, infographics, disclosure matrixes and webinars to assist research administration professionals and faculty members navigate the evolving disclosure requirements for federal grants.
- Topics: Grant disclosure requirements, conflict of interest and conflict of commitment, foreign component, publications and affiliations.

Collaboration with Federal Agencies

- In consultation with National Institutes of Health (NIH) creating an infographic on NIH foreign influence case studies to raise risk awareness for the research community.

Compliance Plan

CLERY ACT COMPLIANCE PROGRAM

The Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act of 1998 (Clery Act) compliance program is coordinated by ECAS and Clery Act Officers and Coordinators at each location. In accordance with Clery Act requirements, each campus publishes an Annual Security and Fire Safety Report, including crime statistics, information on various campus and community resources related to crime prevention and community assistance. ECAS will continue to regularly convene meetings with Clery Act Officers and Coordinators throughout the system to ensure awareness and coordination on these issues.

Identified Risk

- The Department of Education (ED) is currently monitoring and reviewing multiple campuses' Clery compliance and has increased scrutiny of UC's Clery Act policies and procedures.

Major Initiative

- ECAS will initiate a comprehensive systemwide review and update to the UC Clery Act Policy to comply with ED expectations under the Clery Act.

Training

Clery Act Annual Training

- ECAS will provide training and a practical skills workshop for locations' Clery compliance professionals, focusing on high-risk areas and lessons learned.
- Topics: timely warnings and emergency notifications, record keeping for audits, lessons learned, counting crimes, memoranda of understanding, and academic medical centers.

Systemwide Support

- ECAS recently contracted with a national Clery Act expert to provide subject matter expertise to ECAS and the system.
- ECAS is initiating the recruitment process for a dedicated systemwide Clery Act Compliance Officer.

Compliance Plan

HEALTHCARE PROGRAM

UC's academic health centers are some of the most complex and heavily regulated entities within the system. Healthcare compliance obligations largely center around laws designed to protect government health programs (e.g., Medicare and Medicaid) from fraud and abuse.

Identified Risks

- Cybersecurity, management of conflicts of interest and commitment, health and research data governance and privacy, revenue cycle compliance, drug diversion, and telehealth.

Major Initiatives

UC Health Annual Risk Assessment and Workplan Process Improvement

- ECAS and Healthcare Compliance Officers will focus on strengthening existing risk assessment processes at the academic health centers to ensure locations are taking a risk-based approach in identifying their locations' highest compliance risks and allocating the necessary resources to manage or mitigate them.

Compliance Auditing System Implementation

- ECAS and Healthcare Compliance Officers are collaborating on the implementation of an automated auditing system that identifies potential errors in billing that may result in errant charges, allowing academic health centers to quickly address them and design timely training or controls.

Conflict of Interest and Conflict of Commitment

- ECAS is collaborating with UC Legal to revise current policy to address conflicts of interest and commitment risks at academic health centers.

Training

Standards for the Access and Sharing of Health Data

- ECAS will develop training for UC personnel with access to health data to ensure their understanding of the law and policies governing the compliant use and sharing of UC patient, employee, and student health information.

Compliance Plan

PRIVACY PROGRAM

ECAS supports UC locations in handling a diverse array of privacy compliance challenges. The Family Educational Rights and Privacy Act (FERPA), California Information Practices Act (CIPA), and General Data Protection Regulation (GDPR) are some of the key privacy regulations. Health information is also regulated under the Health Insurance Portability and Accountability Act of 1996 (HIPAA) and Confidentiality of Medical Information Act (CMIA).

Identified Risk

- Protecting sensitive personal data is critically important. Privacy compliance permeates all UC activities including research, healthcare, student life and operational processes.

Major Initiatives

Compliance Toolkit for Sharing Health Data Outside the University

- ECAS will create training, checklists and other tools for systemwide personnel to ensure health data sharing outside the University is consistent with laws and UC policies.

Data Classification/Breach Analysis Tool

- ECAS will create an “At-a-Glance” digest of privacy laws and breach reporting triggers for Health Privacy and Campus Privacy Officers, Information Technology personnel, and other risk partners to enable more accurate data classification and breach reporting analysis.

HIPAA Policy Suite Revisions

- ECAS will initiate a multi-phase project to assess and reconcile UC’s multiple systemwide HIPAA policies to ensure consistency with current health privacy law requirements and UC practices.

Training

Protecting Data Privacy – Training for Data Set Owners

- ECAS will create briefing and implementation resources for owners of large employee and student data sets to build awareness of UC’s duties and data subject rights provided by various privacy laws.

Compliance Plan

ADA PROGRAM

ECAS coordinates compliance efforts with UC locations related to the broad requirements of the Americans with Disabilities Act (ADA) and other regulations. These laws prohibit discrimination on the basis of disability by ensuring that entities receiving federal funds are equally accessible to individuals with disabilities. California State Disability laws and UC policy also prohibit discrimination based on disability.

Risk Priorities

- There is significant risk to UC operations in breadth of issues and persons affected by the entire landscape of disability law, policy, and regulations; the potential harm to individuals; reputational harm; and fiscal harm of non-compliance.

Major Initiatives

Academic Accommodations Tool Kit

- ECAS will develop, in collaboration with UC Legal and systemwide ADA Compliance Officers, infographics and compliance alerts on academic accommodations for campus use as tools to educate UC personnel on ADA requirements/processes for classroom accommodation requests.

Training

ADA Compliance and Administrative Structure

- ECAS is creating a guide for faculty and staff addressing student requests for accommodations, implementing academic adjustments and engaging in the interactive process at UC.

Emergency Management and ADA Best Practices

- ECAS is developing a guide for UC administrators on incorporating ADA considerations and compliance into campus emergency planning.

ADA Considerations in Investigations

- ECAS is creating training materials for systemwide investigators on best practices when investigating ADA discrimination/harassment claims.

Compliance Plan

ECAS routinely engages with a host of systemwide stakeholder groups to raise awareness of regulatory issues, share best practices, discuss challenges and prioritize compliance initiatives.

COMPLIANCE AREA	STAKEHOLDERS
ADA	Campus ADA Compliance Officers, UC Legal, Chief Accessibility & Inclusion Officers
Clery	Campus Clery Officers, UC Legal
Clinical Research	Clinical research compliance professionals, UC Legal, Research Policy Analysis & Coordination (RPAC)
Export Control	Export Control Officers, Senior International Officers, UC Legal, OP Research Policy Analysis & Coordination, and Research Compliance Officers
General Compliance	Campus Chief Ethics and Compliance Officers
Healthcare	Healthcare Compliance Officers, UC Legal, UC Health, RPAC, UC procurement offices, International Review Board (IRB) Directors
Health Privacy	Health Privacy Officers, UC Legal, UC Health, Systemwide Information Security, UCOP security and IT teams, RPAC, UC procurement offices, IRB Directors
Campus Privacy	Campus Privacy Officers, UC Legal, Systemwide Information Security, UCOP security and IT teams, Risk Services, UC procurement offices
Research	Associate Vice Chancellors of Research, Research Compliance Officers, Conflict of Interest Officers, Export Control Officers, UC Legal, and RPAC

Internal Audit Plan for 2022-23

July 20, 2022



Internal Audit Plan: Risk Assessment and Plan Development

INTERNAL AUDIT PLAN OBJECTIVES

Internal Audit considers the following objectives when conducting the annual risk assessment process and developing the annual Internal Audit Plan:

- Improve the effectiveness of location governance, risk management and control processes;
- Assist location leadership in the discharge of their oversight, management and operating responsibilities;
- Assist management in addressing the UC's significant financial, operational and compliance risks and making informed risk acceptance decisions;
- Support and leverage location efforts to identify, evaluate and mitigate risks;
- Support the evolution of the Systemwide Compliance Program; and
- Meet the challenge to enhance the value of the Internal Audit Program.

RISK ASSESSMENT PROCESS

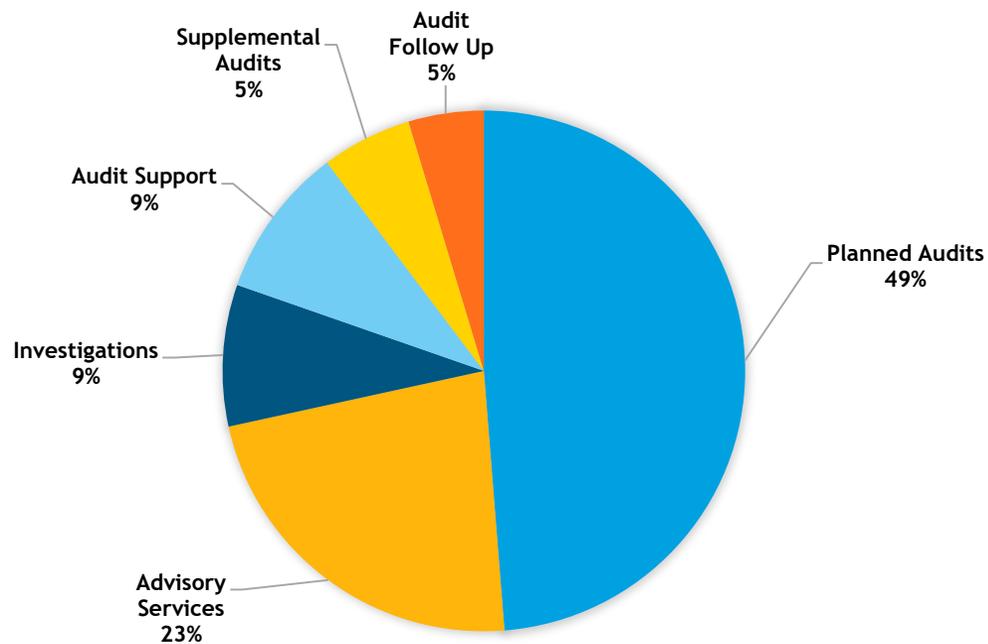
The result of the risk assessment is an informed perspective on the current risk environment – including a prioritization of risks that are scalable to available resources. The key steps in the annual audit risk assessment process are outlined below.



Internal Audit Plan: Distribution of Direct Hours

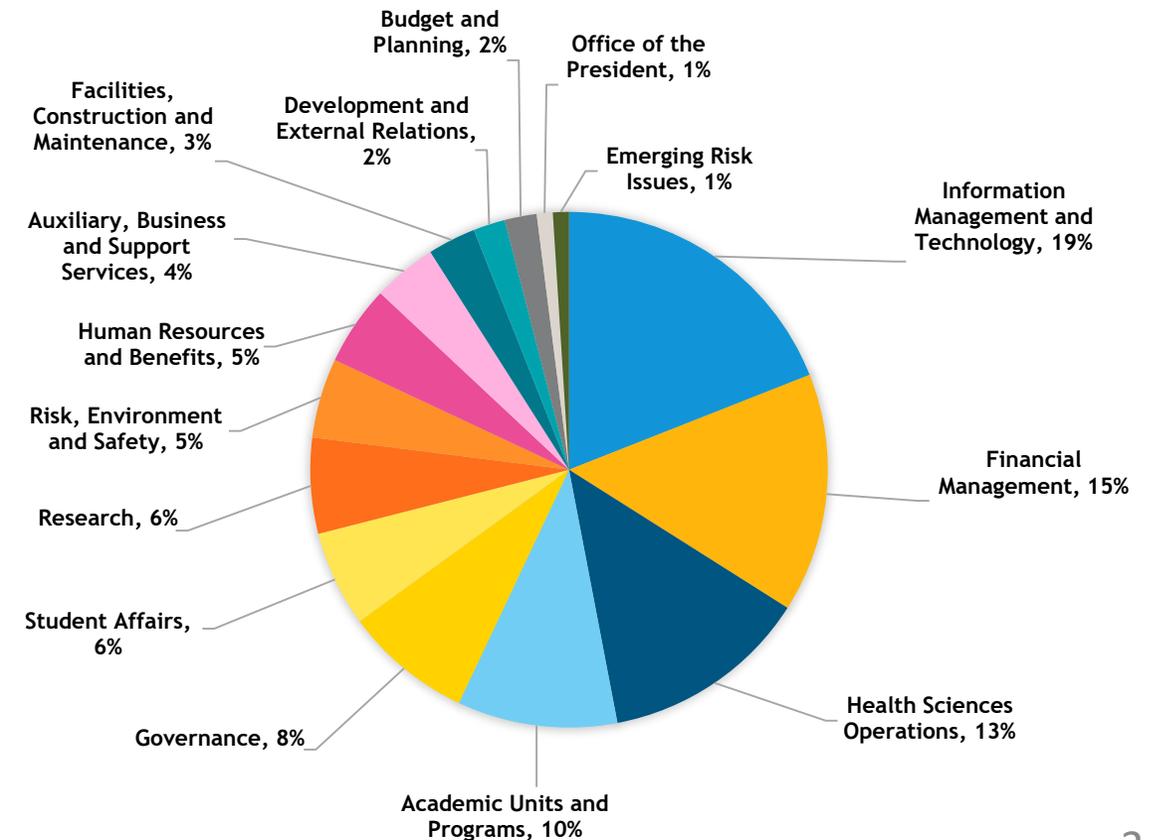
DISTRIBUTION BY PROJECT TYPE

The chart below depicts the direct hours distribution by project type for the 2022-23 plan. It demonstrates that Internal Audit has allocated over half of its planned direct hours to planned and supplemental audits. Internal Audit allocated its remaining time to: advisory services, investigations, audit follow ups and audit support activities.



PLANNED PROJECTS BY FUNCTIONAL AREA

This chart illustrates the distribution of Internal Audit's 2022-23 planned projects by functional area. Internal Audit allocated nearly half of its planned project hours to information management and technology, financial management and health sciences operations.



Internal Audit Plan: Significant Audit Projects

SYSTEMWIDE AUDITS

ECAS conducts systemwide audits for the purpose of reviewing an existing or potential issue across the UC system to identify and address common risk areas. These audits have a common scope and approach and are usually conducted by the local internal audit departments at each location. Overall results are typically summarized in a systemwide audit report.

Contracting Out

Evaluate processes and controls in place to facilitate compliance with contracting out requirements.

UC Health Affiliations

Interim audit to evaluate the UC's progress implementing Regents Policy 4405: Policy on Affiliations with Healthcare Organizations that Have Adopted Policy-Based Restrictions on Care.

Admissions Data Analytics

Retrospective analysis to identify undergraduate admissions decisions that could have been influenced by donations or an applicant's relationship to a member of the Senior Management Group.

Executive Compensation

Verify the accuracy, completeness and timely preparation of the Annual Report on Executive Compensation. Performed by the location internal audit departments on a rolling three-year cycle.

Internal Audit Plan: Significant Audit Projects

CYBERSECURITY AUDITS

ECAS' Cybersecurity Audit Team identified the following priority audits for 2022-23 to address cybersecurity risks.

Critical Infrastructure Cybersecurity

Review cybersecurity controls in place at UC-run combined heating and power plants (CHPs). The audit will include a vulnerability assessment and penetration test to help identify any opportunities for improvement in cybersecurity controls to minimize the likelihood of a significant cyber incident disrupting these facilities.

Large UC IT Service Provider – Critical Cybersecurity Control Review

Review foundational security controls in large IT units at four UC locations. The audit will identify units that provide services to large parts of their UC location and evaluate a set of foundational security controls to help ensure cyber risks are being adequately addressed.

Vulnerability Assessment and Penetration Testing – Office of the President

Assess the vulnerability management practices in place for high-risk systems within UCOP. The audit will include a vulnerability assessment and penetration test to identify any weaknesses in the in-scope systems, as well as a review of the key elements of a vulnerability management program.

Threat Detection and Identification (TDI) Audit Follow-up

Evaluate the implementation of recommendations from the 2020-21 TDI audit across UC locations and at UCOP.

Internal Audit Plan: Resources and Planned Allocation of Effort

OVERVIEW OF RESOURCES AND PLANNED ACTIVITIES

The table to the right provides a high-level overview of the 2022-23 consolidated plan including available internal audit personnel and the distribution of planned internal audit hours by service type and University environment.

PERSONNEL:

	2022-23 Plan		Prior Year Plan	
Authorized staff level	109	FTE's	110	FTE's
Average staff level	103	FTE's	104	FTE's

DISTRIBUTION OF PLANNED ACTIVITIES:

By Audit Activity Type (hours/%):	2022-23 Plan		Prior Year Plan	
Audits	95,384	65%	92,553	63%
Advisory Services	36,913	25%	38,382	26%
Investigations	<u>14,213</u>	<u>10%</u>	<u>16,539</u>	<u>11%</u>
	146,510	100%	147,474	100%

	2022-23 Plan		Prior Year Plan	
By University environment:				
Campus/Laboratory*	79%		76%	
Health Sciences	<u>21%</u>		<u>24%</u>	
	100%		100%	

*Includes Lawrence Berkeley National Laboratory (LBNL), Agriculture & Natural Resources (ANR), and UCOP

Internal Audit Plan: Resources and Planned Allocation of Effort

AVAILABLE RESOURCES

The table below depicts the staffing level assumed in the plan and quantifies the human resources available to assign to audit activities. Total hours are reduced for non-controllable hours, (vacation, holiday and illness per University policy) program administration and training.

	2022-23 Plan		3/31/22 Annualized	
	Hours	Percent	Hours	Percent
Weighted Average FTE	103		105	
Personnel Hours	214,898	97.5%	219,529	98.8%
Other Resource Hours	5,600	2.5%	2,630	1.2%
Gross Available Hours	220,498	100.0%	222,159	100.0%
Less: Non-Controllable Hours	36,762	16.7%	39,375	17.7%
Less: Admin/Training	22,021	10.0%	27,014	12.2%
Total Direct Hours	161,715	73.3%	155,770	70.1%

RESOURCE ALLOCATION

The table below displays the deployment of the available resources among our activities by type (audit, advisory services and investigations). Internal Audit has committed the majority of its planned efforts to audit projects with the remaining time committed to advisory services and investigations.

Audit Program	2022-23 Plan		3/31/22 Annualized	
	Hours	Percent	Hours	Percent
Planned Audits* (221 projects)	78,957	48.8%	81,577	52.3%
Supplemental Audits	8,895	5.5%	3,411	2.2%
Audit Follow Up	7,532	4.7%	9,133	5.9%
Total Audit Program	95,384	59.0%	94,121	60.4%
Advisory Services				
Planned Projects* (91 projects)	18,356	11.3%	N/A	N/A
Supplemental Hours	18,557	11.5%	N/A	N/A
Total Advisory Services	36,913	22.8%	38,526	24.7%
Investigations				
Audit Support Activities	14,213	8.8%	7,433	4.8%
Total Direct Audit Hours	161,715	100.0%	155,770	100.0%

*Total Hours for 312 Planned Projects = 96,333 (See Planned Projects beginning on page 9)

Internal Audit Plan: Resources and Planned Allocation of Effort

DISTRIBUTION OF AVAILABLE HOURS

The table to the right provides a more detailed breakdown of planned time as a basis for ongoing accountability. From this detail the continuing commitment to timely audit follow-up is displayed by the plan to invest over 7,500 hours. The category of Compliance Support is intended to facilitate our efforts to integrate the Compliance and Audit Programs into joint efforts such as annual plan development, project coordination and ongoing risk monitoring.

	2022-23		3/31/2022 Annualized	
	Plan	Percent	Actual	Percent
INDIRECT HOURS				
Administration	13,144	7.2%	19,666	10.8%
Professional Development	7,936	4.3%	7,347	4.0%
Other	940	0.5%	-	0.0%
TOTAL INDIRECT HOURS	22,020	12.0%	27,013	14.8%
DIRECT HOURS				
Audit Program				
Planned New Audits	78,957	43.1%	81,577	44.6%
Supplemental Audits	8,895	4.8%	3,411	1.9%
Audit Follow up	7,532	4.1%	9,133	5.0%
Total Audit Program Hours	95,384	52.0%	94,121	51.5%
Advisory Services				
Consultations/Spec. Projects	24,766	13.5%	28,543	15.6%
Ext. Audit Coordination	6,345	3.5%	5,584	3.1%
Systems Dev., Reengineering Teams, etc.	790	0.4%	9	0.0%
Internal Control & Accountability	1,721	0.9%	1,440	0.8%
Compliance Support	2,870	1.6%	2,588	1.4%
IPA, COI & Other	421	0.2%	362	0.2%
Total Advisory Services Hours	36,913	20.1%	38,526	21.1%
Investigations Hours	14,213	7.6%	7,433	4.0%
Audit Support Activities				
Audit Planning	4,044	2.2%	4,533	2.6%
Audit Committee Support	1,758	1.0%	4,101	2.2%
Systemwide Audit Support	3,695	2.0%	5,178	2.8%
Computer Support*	4,448	2.4%	1,261	0.7%
Quality Assurance	1,260	0.7%	617	0.3%
Total Audit Support Hours	15,205	8.3%	15,690	8.6%
TOTAL DIRECT HOURS	161,715	88.0%	155,770	85.2%
TOTAL NET AVAILABLE HOURS	183,735	100.0%	182,783	100.0%

* Includes time spent on audit management system upgrades and functional enhancement

Internal Audit Plan: Planned Internal Audit Projects

The following tables list all the planned audit and advisory service projects at each location, their proposed general scope and corresponding planned hours.

UC OFFICE OF THE PRESIDENT - AUDITS	SCOPE STATEMENT	HOURS
Cyber Resiliency Audit - UC Health focus (Year 2) - Carryforward	Prior Year carryforward	650
UC Health Data Warehouse Phase 2 (Year 2) - Carryforward	Prior Year carryforward	300
Vulnerability Assessment and Penetration Test Audits - Research Focus (Year 2) - Carryforward	Prior Year carryforward	200
Admissions Data Analytics (Systemwide)	Systemwide retrospective analysis to identify undergraduate admissions decisions that could have been influenced by donations or an applicant's relationship to a member of the Senior Management Group (SMG).	250
Contracting Out (Systemwide)	Evaluate processes and controls in place to facilitate compliance with contracting out requirements.	300
UC Health Affiliations (Systemwide)	Interim audit to evaluate the University's progress implementing Regents Policy 4405: Policy on Affiliations with Healthcare Organizations that Have Adopted Policy-Based Restrictions on Care.	250
Executive Compensation and Chancellor's Expenses (G-45) (Systemwide)	Verify the accuracy, completeness, and timely preparation of the Annual Report on Executive Compensation. Review annual Presidential expense reports to ensure that they have been prepared, reviewed, and submitted in accordance with policy.	200
Electric Service Provider (ESP) Power Supply Verification	Annual audit of power content reporting to the California Energy Commission (CEC).	100

Internal Audit Plan: Planned Internal Audit Projects

UC OFFICE OF THE PRESIDENT (CONT.) - AUDITS	SCOPE STATEMENT	HOURS
Medical Centers Clinical Enterprise Management Recognition Plan (CEMRP)	Annual audit to assess the accuracy of CEMRP award calculations and award compliance with the incentive plan.	250
Office of the Treasurer Annual Incentive Plan (AIP)	Annual audit to assess the accuracy of AIP award calculations and annual payouts and verify compliance with the incentive plan.	150
LBL - Home Office Costs	Assistance to LBL for its annual audit of UC National Laboratories (UCNL) Home Office Costs.	150
UCOP Central Services	Review of central administrative processes at UCOP to identify opportunities to streamline and improve efficiency, including the use of technology to automate processes, while maintaining an appropriate level of internal control to manage risks.	500
Climate Funding	Evaluate governance, processes, and controls in place to ensure climate funding from the state is allocated and expended appropriately and in accordance with requirements.	300
Transition Audit - Innovation Transfer & Entrepreneurship	Audit of processes and controls for the Office of Innovation Transfer & Entrepreneurship to identify areas for remediation.	300
UCOP Real Estate	Evaluate the process and controls in place over UCOP real estate transactions.	250
Critical Infrastructure Cybersecurity	Review the cybersecurity controls in place at the seven UC-run combined heating and power plants (CHPs). These facilities include natural gas power generation as well as heating for campus utilities. The audit will include a vulnerability assessment and penetration test to help identify any opportunities for improvement in cybersecurity controls to minimize the likelihood of a significant cyber incident disrupting these facilities.	2330
Threat Detection and Identification (TDI) Audit Follow-up	Evaluate the implementation of recommendations from the FY21 TDI audit across UC locations and at the Office of the President.	500
Vulnerability Assessment and Penetration Testing - UCOP	Assess the vulnerability management practices in place for high-risk systems within UCOP. In addition to a review of the key elements of a vulnerability management program, the audit will include a vulnerability assessment and penetration test to identify any weaknesses in the in-scope systems.	350

Internal Audit Plan: Planned Internal Audit Projects

UC OFFICE OF THE PRESIDENT (CONT.) - ADVISORY SERVICES

	SCOPE STATEMENT	HOURS
Large UC IT Service Provider - Critical Cybersecurity Control Review	This audit will focus on reviewing foundational security controls in large IT units at four UC locations. The audit will identify units that provide services to large parts of their UC location and evaluate a set of foundational security controls to help ensure cyber-risks are being adequately addressed.	1500
ANR UC Agriculture and Natural Resources (ANR) Business Operations Center and Human Resources Review	Evaluate that the processes and controls associated with ANR's key administrative units are designed and implemented efficiently and effectively to support operational efficiencies.	300
ANR Segregation of Duties Mitigating Controls	Evaluate mitigating controls in place to address risks when UCPath segregation of duties conflicts cannot be removed.	150
Equitability in Remote/Hybrid Work Arrangements	Review policies and protocols in place over remote and hybrid work arrangements and identify potential improvements to promote equitability in these arrangement.	150
Patent Acknowledgement Compliance Advisory Assistance	Advisory assistance to improve Patent Acknowledgement compliance across the system.	100
Royalty Audit Approach	Develop and refine a systemwide approach for identifying licenses for royalty audits to help ensure that the University is receiving the full benefit of its license agreements.	250
Environmental Health and Safety for Multicampus Research Programs	Evaluate governance and oversight of multicampus research programs to ensure effective environmental health and safety protocols are in place.	200
Treasury Management System Controls	Review planned procedures for new treasury management system to assess adequacy of internal controls.	100
	UCOP sub-total	10,080

Internal Audit Plan: Planned Internal Audit Projects

LBNL - AUDITS	SCOPE STATEMENT	HOURS
FY22 UC Office of the National Laboratories (UCNL) Home Office Costs Audit	Based on Department of Energy (DOE) Contract 31 Clause H.4, the DOE Contracting Officer requests Internal Audit to perform an audit FY22 UCNL home office costs charged to LBNL. The audit will verify if such costs are allowable, allocable, and reasonable, and within the terms of the contract. The results of the audit form the basis for DOE's approval and final determination of UCNL home office costs for the year.	450
FY23 Office of Management and Budget (OMB) A-123 Audit - IT General Controls	This is an audit of selected information technology (IT) controls to support compliance with OMB Circular A-123 (OMB A-123) requirements related to financial reporting, and as a component of the Federal Managers Financial Integrity Act (FMFIA). OMB A-123 defines management's responsibility for ensuring adequate internal controls reside within the financial processes and reporting structure throughout the Lab.	450
Contracting Out (Systemwide)	Evaluate processes and controls in place to facilitate compliance with contracting out requirements.	450
Subcontract Audit Mosaic Materials #7421187	Based on requirements in UC Laboratory Procurement Practices Manual (SP) 42.2 (Allowable/Incurred Cost Audits), we will perform an incurred cost audit of Mosaic Materials Subcontract # 7421187. This is a time and materials subcontract for research work to support the National Energy Technology Laboratory (NETL) in the Discovery of Carbon Capture Substances and Systems initiative. The scope will be Mosaic Material's subcontract valued at approximately \$1.8M to determine if invoiced costs comply with the subcontract terms and conditions, and are allowable, allocable, and reasonable under applicable federal cost principles.	700

Internal Audit Plan: Planned Internal Audit Projects

LBNL (CONT.) - AUDITS	SCOPE STATEMENT	HOURS
Subcontract Audit Engineering/Remediation Resources Group, Inc. (ERRG) #7551229	Based on requirements in Procurement SP 42.2 (Allowable/Incurred Cost Audits), we will perform an incurred cost audit of Engineering Remediation Resources Group subcontract # 7551229. This is a time and materials subcontract for B79 demolition and site preparation. The scope will be ERRG's subcontract valued at approximately \$7M to determine if invoiced costs comply with the subcontract terms and conditions, and are allowable, allocable, and reasonable under applicable federal cost principles.	700
Assessment of Time Reporting - Matrixed Employees	This is an assessment of time reporting controls for matrixed employees. Feedback from our risk assessment included concerns on the oversight and approval of time reports for matrixed employees. Divisions that are charged time by matrixed employees may not have sufficient and timely visibility of their time reports before these are submitted to Payroll for processing. Inaccurate reporting of matrixed employees' project work time and leave hours could lead to unallowable costs.	550
Assessment of Emergency Management - Corrective Action Plan	We will perform an assessment and effectiveness review of corrective actions implemented as part of Emergency Management Corrective Action Plan (EM CAP). The CAP was a result of issues and challenges in EM discussed in a 2019 DOE Office of Inspector General (OIG) inspection report (DOE-OIG-19-32) on Mitigation of Risks from Natural Disasters at LBNL. The corrective actions include compliance with DOE Order 151.1D, Comprehensive Emergency Management System.	550
Controls Assessment and Monitoring	Controls Assessment and Monitoring – In coordination with the Controller's Office, we will perform an assessment of key controls to address issues, questioned costs, and opportunities for improvement from prior audits. Data analytics will be used to focus on certain transactions and evaluate controls, and will leverage lessons learned from the OIG Incurred Cost (ICE) audit. This assessment is part of the Lab's measures under the Federal Managers' Financial Integrity Act (FMFIA) for ongoing evaluations on the adequacy of internal accounting and administrative controls.	700

Internal Audit Plan: Planned Internal Audit Projects

LBNL (CONT.) - ADVISORY SERVICES	SCOPE STATEMENT	HOURS
Advisory Review of FY22 Interruption Cost Estimate (ICE) Cost Schedules	This is an advisory review requested by the Office of the Chief Financial Officer (OCFO) as part of an internal quality assurance process for the ICE schedules prior to submission to the OIG/Defense Contract Audit Agency (DCAA). We will perform an overall mathematical verification of ICE schedules and a walkthrough of the data to their source information. DOE Consolidated Service Center also recommends this high-level review. This is not an audit of ICE cost data; the advisory review excludes substantive transaction testing.	500
	LBNL sub-total	5,050

UC BERKELEY - AUDITS	SCOPE STATEMENT	HOURS
Prior Year Projects	Prior Year carryforward	320
Acquisition, Development, and Maintenance of Software Applications	Evaluate the current maturity of campus business processes, programs and internal controls related to procurement or development of software applications that support the campus in its mission.	375
Minimum Security Standards for Networked Devices	Evaluate the current maturity of campus business processes, programs and internal controls to prevent exploitation of campus resources by unauthorized individuals across all devices, independent of their location or ownership, when connected to the campus network.	375

Internal Audit Plan: Planned Internal Audit Projects

UC BERKELEY (CONT.) - AUDITS	SCOPE STATEMENT	HOURS
User Access, Role Management and Segregation of Duties - UCPath	Evaluate the adequacy and effectiveness of internal controls related to the request, approval, provisioning, update, and de-provisioning of user access and roles in UCPath.	350
Data Lifecycle Management (Administrative, Academic, Research, and Student Data)	Evaluate the current maturity of campus business processes, programs, and internal controls related to managing the risks related to the ongoing creation, storage, use, archiving, and destruction of administrative, academic, research, and student data (structured and unstructured).	350
Business Contracts (Revenue Agreements)	Evaluate the adequacy and effectiveness of internal controls related to business processes related to the preparation, review, approval and administration of revenue agreements.	350
Insurance and Risk Management Programs	Evaluate the adequacy and effectiveness of internal controls related to campus administration of systemwide insurance and risk management programs.	350
Berkeley Regional Services - Research Administration	Evaluate the adequacy and effectiveness of internal controls related to responsibilities for the administration of sponsored research assigned to Berkeley Regional Services.	350
Student Affairs - Residential Life	Evaluate the adequacy and effectiveness of internal controls related to the Residential Life program within Student Affairs.	350
Contracting Out (Systemwide)	Evaluate processes and controls in place to facilitate compliance with contracting out requirements.	300

Internal Audit Plan: Planned Internal Audit Projects

UC BERKELEY (CONT.) - AUDITS	SCOPE STATEMENT	HOURS
Chancellor's Expenses (G-45) (Systemwide)	Review annual Presidential expense reports to ensure that they have been prepared, reviewed, and submitted in accordance with policy.	250
Executive Compensation (Systemwide)	Verify the accuracy, completeness, and timely preparation of the Annual Report on Executive Compensation.	250
Admissions Data Analytics (Systemwide)	Systemwide retrospective analysis to identify undergraduate admissions decisions that could have been influenced by donations or an applicant's relationship to a member of the Senior Management Group (SMG).	250
	UC Berkeley sub-total	4,220

UC DAVIS - AUDITS	SCOPE STATEMENT	HOURS
Primate Center-Carryforward	Prior Year carryforward	200
Admissions Data Analytics (Systemwide)	Systemwide retrospective analysis to identify undergraduate admissions decisions that could have been influenced by donations or an applicant's relationship to a member of the Senior Management Group (SMG).	250
Cost Sharing	Audit of internal controls in place to ensure proper accounting for and compliance with cost sharing agreements.	300

Internal Audit Plan: Planned Internal Audit Projects

UC DAVIS (CONT.) - AUDITS	SCOPE STATEMENT	HOURS
Data Loss Prevention (DLP)	Audit of DLP controls, including outbound traffic monitoring, email configuration and usage of cloud platforms.	300
Multifactor Authentication	Audit of a sample of campus applications in order to determine if multifactor authentication is configured appropriately.	300
Time Reporting System (TRS)	Audit of internal controls over employee timesheets processed in TRS. Audit will include an assessment of approvals over timesheets within TRS.	300
Contracting Out (Systemwide)	Evaluate processes and controls in place to facilitate compliance with contracting out requirements.	400
Higher Education Emergency Relief Fund (HEERF)	Audit will assess UC Davis requests for and receipt of Federal Emergency Management Agency (FEMA) funding and the categories of pandemic-related expenses funded by FEMA.	300
Research Data Handling	Audit will include partnering with IT groups to scan a sample of repositories for large, research datasets; then judgmentally sampling those datasets to evaluate protection and availability levels of data and determine whether sufficient controls exist. The review will also assess processes for storage, transmission, and purging of data.	300
UC Health Affiliations (Systemwide)	Interim audit to evaluate the University's progress implementing Regents Policy 4405: Policy on Affiliations with Healthcare Organizations that Have Adopted Policy-Based Restrictions on Care.	250

Internal Audit Plan: Planned Internal Audit Projects

UC DAVIS (CONT.) - AUDITS	SCOPE STATEMENT	HOURS
Cardiac Inventory	Audit of controls over consumable inventory items related to cardiovascular care.	250
Clinical Trials Management System Billing (CTMS)	Audit of new CTMS which bills, collects and provides reporting for clinical trials, with a primary focus on billing.	300
Dermatology Department	Audit will assess policies, procedures, and internal controls at the Department of Pathology. Additionally, it will assess the overall status of the department's finances.	300
Resident/Supervisor Billing	Audit of billing for services provided by supervised residents, which will include assessment of billing records for documentation that supervising physicians are providing sufficient supervision.	250
Shared Services Center, Human Resources Recordkeeping	Audit of data integrity in personnel records maintained by the UC Davis Health Shared Service Center.	300
Termination of User Access	Audit of a sample of separated employees to verify that system access was appropriately terminated.	250
Unauthorized Services	Audit of processes and controls over services not authorized by payors. Audit will include a review of denials due to lack of authorization, identify trends and perform root cause analysis. Advanced Beneficiary Notices (ABN) will also be included within the scope of the audit.	300

Internal Audit Plan: Planned Internal Audit Projects

UC DAVIS (CONT.) - ADVISORY SERVICES	SCOPE STATEMENT	HOURS
Administrative/Transition Reviews	Administrative and transition reviews evaluate internal controls over financial and administrative processes within a dean, vice chancellor or vice provost office, along with the unit's five-year financial performance. The unit's major accomplishments, challenges, and opportunities, as well as how those factors impact administrative operations, are identified and reported. Administrative or transition reviews will be performed in the following areas: <ul style="list-style-type: none"> • Campus Counsel • Enrollment Management • School of Law 	750
Aggie Enterprise	Audit and Management Advisory Services (AMAS) will be providing consultation regarding the Aggie Enterprise implementation in areas such as governance, independent validation and verification process, and system build and related internal controls.	250
Campus Committees	AMAS serves on a number of advisory committees charged with activities related to assessment of controls, accountability, risk management and compliance.	40
Incident Response and Business Continuity Planning	Review of the current state of UCD's Incident Response and Business Continuity plans, with an emphasis on issues related to ransomware.	350
Mechanical and Aeronautical Engineering	Review of administrative procedures and internal controls over travel, entertainment and equipment management.	250
Network Operations Center (NOC) Physical Security	AMAS will conduct a surprise visit the NOC to assess physical controls.	40

Internal Audit Plan: Planned Internal Audit Projects

UC DAVIS (CONT.) - ADVISORY SERVICES	SCOPE STATEMENT	HOURS
Offices of the Chancellor and Provost (OCP) Finance	Review of financial and budgetary services provided by OCP Finance.	300
Student Health	Follow-up to audit of Student Counseling Services performed in fiscal year 2017.	300
Succession Planning	Review of actions to address succession planning as a campus. May be achieved by member of AMAS management participating on campus committee.	200
Data Analytics Support	AMAS continues to refine its internal data analytics capabilities, as well as providing support to other UC Davis units in obtaining and analyzing data from UC Davis and systemwide (e.g., UC Path) information systems.	120
How to Survive an Audit	On a semi-annual basis, AMAS teaches a staff development course titled "How to Survive an Audit." This course is required as part of the Research Administration Certificate series, and provides information to participants on working with external regulatory auditors and internal auditors.	80
IT Committees	AMAS participates in various IT-related committees, including the cyber-safety risk assessment committee, and the IT security committee.	60
Law Fellow Development	On an annual basis AMAS hires a Law Fellow who is a recent graduate of the UC Davis School of Law. This project provides time for the Law Fellow to participate in AMAS projects and provide consultation to AMAS stakeholders.	700
Police Accountability Board	Review of the UC Davis Police Accountability Board to assess compliance with internal policies and procedures.	300

Internal Audit Plan: Planned Internal Audit Projects

UC DAVIS (CONT.) - ADVISORY SERVICES	SCOPE STATEMENT	HOURS
Quality Assurance Peer Review	International Standards for the Professional Practice of Internal Auditing (the Standards) require an external assessment of the internal audit function be conducted at least once every five years by a qualified, independent assessor or assessment team from outside of the organization. AMAS will be required to perform a self-assessment in preparation for the external review, as well as work with the external review team.	200
UC Path Separation of Duties	Review of risk mitigation strategies for instances where an inadequate separation of duties has been noted within UC Path.	300
Leased Facilities Compliance	Review to determine if research facilities in leased buildings are compliant with building codes and lease obligations.	300
School of Medicine (SOM) Cold Storage	Review will locate cold storage appliances throughout SOM facilities, and assess impact and likelihood of risk of loss from power failure, theft, etc.	300
UCD Health Committees	AMAS serves on a number of advisory committees charged with activities related to privacy and security; operations and facilities compliance; professional fee billing; and executive-level issues.	50
UC Davis Health (UCDH) Telecommunications	Analysis of changes in telecommunications utilization since start of pandemic. Review will focus on data security, contract compliance, and opportunities for cost savings.	300
	UC Davis sub-total	10,040

Internal Audit Plan: Planned Internal Audit Projects

UC IRVINE - AUDITS	SCOPE STATEMENT	HOURS
Contracting Out (Systemwide)	Evaluate processes and controls in place to facilitate compliance with contracting out requirements.	300
International Shipping	Evaluate polices, procedures, and internal controls in place to ensure compliance export controls, trade, and transportation sanctions laws and regulations as they apply to international shipments.	325
School of the Arts	Determine whether there are adequate internal controls over key administrative and financial processes within the school.	300
Patient Valuables	Evaluate current processes used to collect, transport, and store patient valuables.	300
Space Management	Assess campus processes used to manage and analyze space inventory and utilization	300
Medical Center Lockbox Access Controls	Review controls in place to monitor access to medical center lockboxes	300
Sponsored Research Data Access Security Controls & Resiliency	Assess security and backup/recovery controls and compliance related to sponsored project research data.	350
Admissions Data Analytics (Systemwide)	Systemwide retrospective analysis to identify undergraduate admissions decisions that could have been influenced by donations or an applicant's relationship to a member of the Senior Management Group (SMG).	250

Internal Audit Plan: Planned Internal Audit Projects

UC IRVINE (CONT.) - AUDITS	SCOPE STATEMENT	HOURS
UC Health Affiliations (Systemwide)	Interim audit to evaluate the University's progress implementing Regents Policy 4405: Policy on Affiliations with Healthcare Organizations that Have Adopted Policy-Based Restrictions on Care.	250
Campus Building Access and Security Controls	Evaluate campus building access and physical security controls.	450
Radiology	Determine whether there are adequate internal controls over key administrative and financial processes, such as financial management, research administration, and compensation plan activities.	300
Employee Retention & Succession Planning Processes	Review and evaluate existing retention practices and succession planning processes for effectiveness.	400
UC Path Payroll Request Reporting & Monitoring	Evaluate the adequacy and effectiveness of UC Path payroll request reporting and monitoring	300
Policies & Procedures	Determine whether policies and procedures are up to date and reflect existing practices, cover key areas, and are properly reviewed/approved.	350
Medical Center Procurement System Implementation	Focused review regarding the medical center procurement system implementation in areas such as governance, independent validation and verification processes, and related internal controls.	400
Time Reporting System (TRS)	Evaluate the adequacy and effectiveness of internal controls related to timekeeping at the campus.	300

Internal Audit Plan: Planned Internal Audit Projects

UC IRVINE (CONT.) - AUDITS	SCOPE STATEMENT	HOURS
Division of Continuing Education	Dean transition review that will focus on internal controls over financial and administrative processes as well as DCE's major accomplishments, challenges, and opportunities.	300
Veterans Affairs (VA) Billing	The review will focus on VA residency billing and related processes and controls.	300
New Hospital Construction - Phased	Review project invoiced costs and fees to ensure compliance with the contract agreement.	325
IS-12 Policy Compliance	Review the controls and processes in place for Policy IS-12: IT Recovery compliance	300

UC IRVINE - ADVISORY SERVICES	SCOPE STATEMENT	HOURS
Data Analytics	Utilizing data analytics and analysis identify unusual trends and investigate irregular transactions.	200
Coded Memo Reviews	Annual reviews of the Division of Finance and Administration (DFA) coded memos, which contain policies, procedures, and operational guidelines relating to most aspects of DFA.	200
Review of Closed Management Corrective Actions (MCAs)	Reviews of high-risk MCAs closed by Internal Audit Services (IAS) in prior year audits to assess continued compliance	150
Continuous Auditing Corporate Card Transactions	Utilizing data analytics, test sample corporate card transactions to detect non-compliant transactions or fraud.	100

Internal Audit Plan: Planned Internal Audit Projects

UC IRVINE (CONT.) - ADVISORY SERVICES

	SCOPE STATEMENT	HOURS
Physical Inventory Observations	Review a sample of department year-end physical inventory activities, including test counts and compliance with policies and procedures.	50
Campus and Medical Center Advisory Committees	Internal Audit Services serves on various advisory committees and provides input and advice on risks, accountability, and internal controls.	50
Undue Foreign Influence Disclosure Reviews	Utilizing a risk-based methodology, conduct sample-based reviews to reduce the risk of inaccurate disclosures of potential conflicts and foreign affiliations.	200
	UC Irvine sub-total	7,350

UC LOS ANGELES - AUDITS

	SCOPE STATEMENT	HOURS
Carryforward from FY21-22	Prior Year carryforward	150
Superintendent PreK-12 Programs & Schools - Geffen Academy	Audit & Advisory Services (AAS) will review the organizational structure and controls at the Geffen Academy. The potential scope of the audit may include financial management, student fees, personnel and payroll, purchasing, and equipment inventory.	500
Greek System	AAS will review whether there are adequate internal controls over financial, operational, and administrative activities pertaining to fraternities and sororities. The potential scope may include review of policies and procedures, training and education, and reporting of incidents.	500

Internal Audit Plan: Planned Internal Audit Projects

UC LOS ANGELES (CONT.) - AUDITS	SCOPE STATEMENT	HOURS
Campus Purchasing - Invoices	AAS will review controls over purchasing activities. The scope of the audit may include review of low value orders, invoice processing, etc.	700
Associated Students UCLA (ASUCLA) - Information Svcs Div. - NetSuite POS System	AAS will review the adequacy and effectiveness of internal controls over NetSuite Point of Sale (POS) system operations. The potential scope may include Physical Controls, User Access Administration, Disaster Recovery and Business Continuity, Technical Controls, and Back-up and Recovery. Where applicable, this review will consider University policies and procedures.	250
ASUCLA - Retail Stores Div./General Merchandise Unit	AAS will review internal controls and related systems and procedures surrounding General Merchandise operations within the Retail Stores Division. The potential scope may include Operations, Cash Management, Receiving, Payroll Time Reporting, Physical Security, and Information Systems. Where applicable, this review will consider University policies and procedures.	300
ASUCLA - UCLA Restaurants - LuValle Division	AAS will review internal controls and the related systems and procedures. The potential scope may include Financial Management, Personnel and Payroll, Food Inventory, Employee Training, Physical Security, and Separation of Duties.	250
Capital Programs - Contract Management	AAS will review internal controls related to contract management processes. Where applicable, compliance with campus and University requirements will also be evaluated. The potential scope may include Bidding and Contracts Administration; Licenses, Insurance, and Bonds; Substitution of Subcontractors; and Professional Services and Executive Design Professional Agreements.	400
Capital Programs - Personnel and Payroll review	AAS will review the department's internal controls associated with its personnel and payroll processes. Where applicable, compliance with University policies and procedures will also be evaluated. The potential scope of the audit may include a review of the Accountability Structure, processes for New Hires and Separations, UCPath Training, Performance Evaluations, Employee Incentive Awards, and Salary Increases.	350
Events & Transportation - Fleet Transit Advisory Project	AAS will advise the Fleet & Transit unit as it changes its processes, in particular, reviewing the adequacy of controls and compliance with University policies.	400

Internal Audit Plan: Planned Internal Audit Projects

UC LOS ANGELES (CONT.) - AUDITS	SCOPE STATEMENT	HOURS
Events & Transportation - Information Technology	AAS will review the organizational structure and IT controls. Where applicable, compliance with University and departmental policies and procedures will also be evaluated.	400
Facilities Management - Customer Relations	AAS will review internal controls related to the management of trouble calls and customer service functions. Where applicable, compliance with campus and University policies and procedures will also be evaluated. The potential scope may include Emergency Response, Alarm Monitoring, State Funding and Billing, Outages, and Key Management.	400
Facilities Management - Preventive and Deferred Maintenance	AAS will review internal controls related to the Preventive Maintenance and Deferred Maintenance programs. Where applicable, compliance with campus and University policies and procedures will also be evaluated. The potential scope may include Preventive Maintenance, Task Identification, Prioritization of Projects, Work Plans, Performance and Work Force Utilization, Project Backlog, and Work Order Completion – Maximo System.	450
Housing & Hospitality - Ascend COA & HHS Syst.Int.Planning Advisory	Housing & Hospitality Services (HHS) has requested an advisory project to assist them with the integration between Ascend and the HHS systems.	337
Housing & Hospitality - Lake Arrowhead & Luskin Conf. Centers Advisory	AAS will perform an advisory review of internal controls and processes for the Lake Arrowhead and the Luskin Conference Center entities now that both are public facing.	450
Housing and Hospitality - On/Off Campus Housing Safety	AAS will review Housing and Hospitality on/off campus safety and security emergency management plans.	300
UCLA Extension (UNEX)	AAS will review whether there are adequate internal controls over key administrative and financial processes, such as financial management, research administration, and compensation plan activities. The scope of the audit may also include gift administration, equipment inventory, training, and information technology and security.	800

Internal Audit Plan: Planned Internal Audit Projects

UC LOS ANGELES (CONT.) - AUDITS	SCOPE STATEMENT	HOURS
UCLA School of Theater, Film and Television	AAS will review whether there are adequate internal controls over key administrative and financial processes, such as financial management, research administration, and compensation plan activities. The scope of the audit may also include gift administration, equipment inventory, training, and information technology and security.	800
UCLA School of Law	AAS will review whether there are adequate internal controls over key administrative and financial processes, such as financial management, research administration, and compensation plan activities. The scope of the audit may also include gift administration, equipment inventory, training, and information technology and security.	800
Admissions/Donations	As part of a systemwide review, AAS will use data analytics to review (1) donations to UCLA and (2) local Senior Management Group (SMG) personnel data to identify undergraduate admissions decisions that could have been influenced by these donations or personnel.	250
Data Analytics Dashboard Project	AAS will explore creating an interactive web-based tool for visually highlighting financial risk and compliance metrics that may merit additional management review	500
Human Resources and Payroll Center - North Advisory	Following the merger of North and South Human Resource and Payroll Centers, AAS will advise the joint organization, reviewing its policies and procedures to identify efficiencies and compliance with University policies and procedures.	500
Foundation Audit	AAS will perform an annual compliance review to ensure that dispositions of restricted funds transferred from the UCLA Foundation to the University for fiscal year 2021-22 complied with the purposes and restrictions set forth by the donors.	600
Intercollegiate Athletics - Development	AAS will review the adequacy and effectiveness of the internal controls for the Department of Intercollegiate Athletics (DIA) Development Office, as well as the Office's compliance with University and departmental standards, procedures and policies.	500

Internal Audit Plan: Planned Internal Audit Projects

UC LOS ANGELES (CONT.) - AUDITS	SCOPE STATEMENT	HOURS
Intercollegiate Athletics - Athletic Trainers	AAS will review controls around athletic trainers and their interactions with students. Subjects may include training, reporting, review of complaints, screening of trainers, as well as other topics.	500
Research - Department Research Administration Audits	AAS will review departmental controls around research administration in a department to be determined.	350
IT Services / Student Data Audit	AAS will attempt to map the location of student data and review controls over such data.	500
Study Abroad Programs - Oversight/Review	AAS will review controls and processes for study abroad programs, including the adequacy of coordination among academic and administrative stakeholders. In addition, AAS will review coverage and potential risks with existing protocols.	600
Systemwide Contracting Out	As part of a systemwide review, AAS will evaluate compliance with University contracting out policies including, potentially, compliance with Regents Policy 5402, American Federation of State, County and Municipal Employees (AFSCME) article 5 and SB 820.	300
Technology Development Group	AAS will verify the accuracy of the fiscal year 2021-22 award calculations and the reported incentive plan objective levels achieved (threshold, target, maximum).	450
UCPath Separation of Duties	AAS will review risk mitigation strategies where inadequate separation of duties have been noted within UC Path.	500
Clinic - Calabasas - Primary & Specialty Care	AAS will assess the adequacy and effectiveness of internal control over key activities including payment handling, revenue capture, and healthcare vendor relationships.	475

Internal Audit Plan: Planned Internal Audit Projects

UC LOS ANGELES (CONT.) - AUDITS	SCOPE STATEMENT	HOURS
Clinic - Century City - Primary & Specialty Care	AAS will assess the adequacy and effectiveness of internal control over key activities including payment handling, revenue capture, and healthcare vendor relationships.	475
Clinic - Montecito - Primary & Specialty Care	AAS will assess the adequacy and effectiveness of internal control over key activities including payment handling, revenue capture, and healthcare vendor relationships.	475
UCLA Health Information Services & Solutions (ISS) - IT Project – To be Determined (TBD)	Working with a consultant, AAS will conduct an ISS project, scope to be determined.	500
Charge Capture - Cath Lab – Ronald Reagan UCLA Medical Center (RRUMC)	AAS will assess the adequacy and effectiveness of controls over key charge capture processes, including charge lag.	500
Charge Capture - Cath Lab & Interventional Radiology	AAS will assess the adequacy and effectiveness of controls over key charge capture processes, including charge lag.	500
Medical Necessity - Genetic Testing	AAS will assess whether the medical necessity of genetic testing orders is sufficiently documented.	500
United States Department of Health and Human Services (HHS) Provider Relief Funding - Spending Compliance	AAS will review whether UCLA Health is in compliance with the terms and conditions for the spending of HHS provider relief funding.	500
Sexual Violence and Sexual Harassment (SVSH)	AAS will review compliance with policies and procedures implemented following the UCLA Health and Student Health Special Committee Report.	500

Internal Audit Plan: Planned Internal Audit Projects

UC LOS ANGELES (CONT.) - AUDITS	SCOPE STATEMENT	HOURS
Controlled Substances Diversion Management	AAS will evaluate the Pharmacy's program to detect, monitor and resolve potential controlled substance diversion occurrences.	500
Pharmacy 340B Drug Pricing Program - Compliance	AAS will review compliance with 340B Drug Pricing Program requirements	500
International Services - Embassy Billing & Self-Pay Billing & Collections	AAS will assess whether services coordinated by International Services are effectively charged and collected.	500
Supply Charge Rates - Alignment with Costs	AAS will assess whether the rates for supply charges have a markup that aligns with organizational policy and practice.	250
UC Health Affiliations (Systemwide)	Interim audit to evaluate the University's progress implementing Regents Policy 4405: Policy on Affiliations with Healthcare Organizations that Have Adopted Policy-Based Restrictions on Care.	250
Primary Care - Burbank - Carryforward	AAS will assess the adequacy and effectiveness of internal controls over key activities, including payment handling, revenue capture, and healthcare vendor relationships.	200
Department of Medicine Departmental Audit - Carryforward	AAS will conduct a departmental audit to determine whether there are adequate internal controls over key administrative and financial processes, such as financial management, research administration, and compensation plan activities.	300
Gift Administration - School of Dentistry - Carryforward	AAS will review the School of Dentistry's administration of gifts, including gift processing and monitoring expenditures for compliance with gift terms.	100

Internal Audit Plan: Planned Internal Audit Projects

UC LOS ANGELES (CONT.) - AUDITS	SCOPE STATEMENT	HOURS
Clinical Research Billing - Carryforward	AAS will review the adequacy and effectiveness of controls over key research billing processes.	350
Cardiology -Cardiovascular Center - Carryforward	AAS will assess the adequacy and effectiveness of controls over key charge capture processes, including charge lag.	100
Charge Capture - Outpatient Radiology – Magnetic Resonance Imaging (MRI) – Carryforward	AAS will assess the adequacy and effectiveness of controls over key charge capture processes, including charge lag.	100
Controlled Substances - Controls in David Geffen School of Medicine (DGSOM) Research Labs	AAS will review the adequacy of controls regarding controlled substances used in School of Medicine research laboratories.	400
Sponsored Projects - Award Closeout	AAS will evaluate DGSOM departmental processes to close awards and determine whether the processes are sufficient to close awards and remaining fund balances timely.	500
Ledger Review & Reconciliation	AAS will evaluate DGSOM departmental processes in place to review and reconcile general ledger financial activity adhere to guidance from the DGSOM Dean's Office	500
Leave of Absence Management	AAS will review whether DGSOM departments are managing leaves of absence appropriately and in compliance with regulations	450
Faculty Compensation Restructure (School of Dentistry)	AAS will evaluate whether the restructured compensation plan is fair, transparent, and still within University policy after it goes live.	450

Internal Audit Plan: Planned Internal Audit Projects

UC LOS ANGELES (CONT.) - ADVISORY SERVICES

	SCOPE STATEMENT	HOURS
Bruin Budget Implementation	The primary purpose of the advice will be to assess departmental processes, procedures, and internal controls relating to Bruin Budget Model implementation and whether they are conducive to accomplishing its business objectives.	400
One Bill Advisory Workgroup	AAS will participate in the One Bill workgroup. The One Bill project seeks to have one 'true' one bill for all three UCLA accounts receivable areas, merging Housing transactions into the Tuition billing system, and possibly Transportation student accounts system.	100
Ascend Steering Committee	AAS will participate in the Ascend Steering Committee/workgroup to help ensure controls surrounding the financial system implementation of Ascend are adequate.	100
Distributed Administrative Security System (DACSS) Workgroup	AAS will participate in the Distributed Administrative Security System (DACSS) Work Group	50
Policy & Procedures for Contingent Workers (CWR) Workgroup	AAS participates in the Policy & Procedures for Contingent Workers (CWR) workgroup to advise on proper controls and procedures and to seek compliance with University polices.	50
University Identification (UID) Workgroup	AAS will participate in the University Identification (UID) workgroup to review controls surrounding UID.	60
Student Information Systems (SIS) Workgroup	AAS will participate in the Student Information Systems (SIS) workgroup to review controls surrounding SIS.	60
Certified Administrative Officer (CAO) Certification Revamp Workgroup	AAS will participate in the CAO Certification Revamp Workgroup.	100

Internal Audit Plan: Planned Internal Audit Projects

UC LOS ANGELES (CONT.) - ADVISORY SERVICES

	SCOPE STATEMENT	HOURS
Human Resources Advisory Group (HRAG)	AAS will participate in the HRAG workgroup to help advise on Campus Human Resource issues.	80
Continuing Education of the Bar (CEB) - Advisory	AAS will advise the Continuing Education of the Bar and its annual reporting.	166
	UCLA Sub-total	25,128

UC MERCED - AUDITS

	SCOPE STATEMENT	HOURS
Clery Compliance - Carryforward	Prior Year carryforward	25
Title IV - Carryforward	Prior Year carryforward	25
Recharges and Recharge Process-carryforward	Prior Year carryforward	25
UC Path Segregation of Duties and Processes	Review tor controls effectiveness in UC Path access. Review current processes for effectiveness and appropriate controls	200
Contracts and Grants - Project Portfolio Financial Management (PPFM)	Review processes, procedures, and controls around 'Project Portfolio Financial Management' in the Contracts and Grants process.	300

Internal Audit Plan: Planned Internal Audit Projects

UC MERCED (CONT.) - AUDITS	SCOPE STATEMENT	HOURS
Admissions Data Analytics (Systemwide)	Systemwide retrospective analysis to identify undergraduate admissions decisions that could have been influenced by donations or an applicant's relationship to a member of the Senior Management Group (SMG).	100
Contracting Out (Systemwide)	Evaluate processes and controls in place to facilitate compliance with contracting out requirements.	300
Food Safety	Review Food Safety Program compliance, and overall process for Food Safety	200
IS-12 Implementation & Business Continuity Review	Review compliance with implementation of Policy IS-12: IT Recovery.	200
Travel Audit (Expense & International Travel)	Review travel expenses for fraud and controls. Review process for foreign travel with policies.	300
UC MERCED - ADVISORY SERVICES	SCOPE STATEMENT	HOURS
Transition Reviews	Review transition of areas with SMG leadership change.	125
Title IX & VII	Review current procedures for handling complaints and cases for current compliance and controls.	200
Certificate of Occupancy	Review current certificate of occupancy process with prior advisory service findings.	75
Concurrent Auditing - Lab Safety	Review high risk areas on an ongoing basis for appropriate controls and compliance. Report quarterly to leadership.	150
	UC Merced sub-total	2,225

Internal Audit Plan: Planned Internal Audit Projects

UC RIVERSIDE - AUDITS	SCOPE STATEMENT	HOURS
Prior Year Projects - Carryforward	Prior Year carryforward	250
Chancellor's Expenses (G-45) (Systemwide)	Review annual Presidential expense reports to ensure that they have been prepared, reviewed, and submitted in accordance with policy.	150
Contracting Out (Systemwide)	Evaluate processes and controls in place to facilitate compliance with contracting out requirements.	300
Annual Analytic Review & Fraud Detection	Perform analytic review procedures of expenses and other information to identify any unusual trends or transactions and obtain explanations for such	400
UC Health Affiliations (Systemwide)	Interim audit to evaluate the University's progress implementing Regents Policy 4405: Policy on Affiliations with Healthcare Organizations that Have Adopted Policy-Based Restrictions on Care.	350
Admissions Data Analytics (Systemwide)	Systemwide retrospective analysis to identify undergraduate admissions decisions that could have been influenced by donations or an applicant's relationship to a member of the Senior Management Group (SMG).	300
Executive Compensation (Systemwide)	Verify the accuracy, completeness, and timely preparation of the Annual Report on Executive Compensation.	200
IS-12 Policy Compliance - IT Recovery	Perform applicable procedures to determine compliance with Policy IS-12: IT Recovery.	400
School of Medicine Clinic/s	Select UCR Clinic/s on a judgmental basis and review the system of internal controls and compliance with applicable policy provisions.	500

Internal Audit Plan: Planned Internal Audit Projects

UC RIVERSIDE (CONT.) - ADVISORY SERVICES

	SCOPE STATEMENT	HOURS
Quality Assurance Peer Review (Systemwide)	Under the direction of UCOP Audit	200
UCPath Separation of Duties (Systemwide)	A&AS will review UCR/UCPath separation of duties and mitigating controls	120
	UC Riverside sub-total	3,170

UC SANTA BARBARA - AUDITS

	SCOPE STATEMENT	HOURS
Prior Year Projects - Carryforward	Prior Year carryforward	450
IT: End Point Security	This audit will examine campus desktop/laptop practices (on a sample basis) with a focus on security. Possible areas of focus include user education and awareness, employee onboarding and separation practices, desktop access/locking, password management, physical security, virus and malware protection, use of administrator privileges, unauthorized or unlicensed software, data storage and backup, security of protected information, etc.	270
IT: Separation of Duties II	The objective of this audit would be to identify potential separation of duties gaps in critical campus systems. Ensuring submitter and approval roles are appropriately assigned and managed in campus systems at the onset of a system implementation, as well as continued management of roles is crucial to reduce risks of misuse of campus resources.	250

Internal Audit Plan: Planned Internal Audit Projects

UC SANTA BARBARA (CONT.) - AUDITS	SCOPE STATEMENT	HOURS
IT: Student Health Portal Information Security	The objective of this review would be to assess Student Health Portal security, since the campus has used this system to track student, faculty, and staff vaccination statuses, and ensure they are meeting UC and local policies and requirements related to general controls and information security.	300
Social Sciences - Internal Control Review	Audit and Advisory Services will evaluate effectiveness, efficiency, compliance, and/or the adequacy of internal controls in one or more areas selected based on risk, with possible coverage of budgeting, revenue (e.g. billing, accounts receivable, cash), procurement, payroll, sponsored projects, and/or other areas.	250
Mathematical, Life and Physical Sciences - Internal Control Review	Audit and Advisory Services will evaluate effectiveness, efficiency, compliance, and/or the adequacy of internal controls in one or more areas selected based on risk, with possible coverage of budgeting, revenue (e.g. billing, accounts receivable, cash), procurement, payroll, sponsored projects, and/or other areas.	250
Geography - Internal Control Review	Audit and Advisory Services will evaluate effectiveness, efficiency, compliance, and/or the adequacy of internal controls in one or more areas selected based on risk, with possible coverage of budgeting, revenue (e.g. billing, accounts receivable, cash), procurement, payroll, sponsored projects, and/or other areas.	250
Admissions Data Analytics (Systemwide)	Systemwide retrospective analysis to identify undergraduate admissions decisions that could have been influenced by donations or an applicant's relationship to a member of the Senior Management Group (SMG).	250
Contracting Out (Systemwide)	Evaluate processes and controls in place to facilitate compliance with contracting out requirements.	300
UCPath Separation of Duties	Evaluate the separation of duties within the roles assigned to campus personnel in the UCPath system to identify potential separation of duties gaps, as well as inadequate practices managing UCPath roles.	270

Internal Audit Plan: Planned Internal Audit Projects

UC SANTA BARBARA (CONT.) - AUDITS	SCOPE STATEMENT	HOURS
Sponsored Projects Administration	Assess consistency of departmental post-award processes of the sponsored projects administration of research and grant awards from an organization standpoint, to help identify efficiencies and a cohesive and sustainable organization model.	300
Budget Process Allocation	Review UCSB's current budget process and identify difficulties and recommended potential improvements and to evaluate the effectiveness and efficiency of Budget Office internal controls.	250
Higher Education Emergency Relief Funding (HEERF) Review	This project will provide assurance that activities/expenses are in compliance with the Coronavirus Aid, Relief, and Economic Security Act (CARES Act) and the Higher Education Emergency Relief Funding (HEERF).	150

UC SANTA BARBARA - ADVISORY SERVICES	SCOPE STATEMENT	HOURS
Remote Work	This review will assess the campus preparedness for Return to Work with respect to COVID-19 and the future of Remote Work. The campus is planning to continue alternative working arrangements to an extent that is both effective and productive. This project will assess policies, procedures, and controls necessary in the new work environment.	300
Registered Campus Organizations Phase II	Advisory Projects to provide independent comparative analysis of administrative oversight for Registered Campus Organizations at comparable institutions and the trade-offs between different methodologies for providing guidance and accounting services.	300

Internal Audit Plan: Planned Internal Audit Projects

UC SANTA BARBARA (CONT.) - ADVISORY SERVICES

	SCOPE STATEMENT	HOURS
Business Continuity Planning	Validate that business continuity planning is being performed and the plans are accessible and reviewed regularly. Examine business continuity planning to ensure it is adequately address risks to continuity.	300
Data Analytics Program - Development and Collaboration	We have set aside hours for training and other activities for development of our data analytics program, including possible collaboration with Business & Financial Services.	300
Outreach, Training, and Presentations	We will continue our Ethics and Fraud presentation series as part of the Controller's Financial Management Certificate Program, Sponsored Projects Training for Administrators in Research (STAR), Payroll/Personnel System (PPS) Basics classes, and other programs.	280
	UC Santa Barbara sub-total	5,020

UC SANTA CRUZ - AUDITS

	SCOPE STATEMENT	HOURS
Admissions Data Analytics (Systemwide)	Systemwide retrospective analysis to identify undergraduate admissions decisions that could have been influenced by donations or an applicant's relationship to a member of the Senior Management Group (SMG).	350
Contracting Out (Systemwide)	Evaluate processes and controls in place to facilitate compliance with contracting out requirements.	350
Access Control	Evaluate controls in place to ensure access is restricted to authorized users	300
Data Privacy	Evaluate controls in place to ensure data privacy is protected	300

Internal Audit Plan: Planned Internal Audit Projects

UC SANTA CRUZ (CONT.) AUDITS	SCOPE STATEMENT	HOURS
IT Recovery/Business Continuity	Evaluate controls in place to quickly respond to and recover from an IT disaster	300
Post Award Administration	Evaluate controls in place to ensure compliance with contract and grant requirements	350
Scuba Diving Oversight	Evaluate controls in place to ensure diver certification cards are administered appropriately	250
Volunteer Administration	Evaluate distributed volunteer administration effectiveness and efficiency, and best practices	350
New FAMIS System Implementation	Evaluate adaption of the new FAMIS system for facility space management	200

UC SANTA CRUZ - ADVISORY SERVICES	SCOPE STATEMENT	HOURS
Leadership Transition for Information Technology Services Division (ITS)	Review the Information Technology Services Division finances over a five-year period; review operational metrics over that period; obtain unit leadership information and processes by survey and interviews; obtain campus leadership feedback; obtain subunit information and processes	200
Leadership Transition for Finance, Operations and Administration Division (FOA)	Review the Finance, Operations and Administration Division finances over a five-year period; review operational metrics over that period; obtain unit leadership information and processes by survey and interviews; obtain campus leadership feedback; obtain subunit information and processes	200

Internal Audit Plan: Planned Internal Audit Projects

UC SANTA CRUZ (CONT.) - ADVISORY SERVICES

	SCOPE STATEMENT	HOURS
Leadership Transition for Student Affairs & Success	Review the Student Affairs & Success Division finances over a five-year period; review operational metrics over that period; obtain unit leadership information and processes by survey and interviews; obtain campus leadership feedback; obtain subunit information and processes	200
Leadership Transition for Equity and Equal Protection Office (EEP)	Review the Equity and Equal Protection Office finances over a five-year period; review operational metrics over that period; obtain unit leadership information and processes by survey and interviews; obtain campus leadership feedback; obtain subunit information and processes	250
TAPS Parking Enforcement	Review the Transportation and Parking Services management of parking enforcement	150
UCSC Extension (UNEX) Annual Monitoring	Determine UNEX's current and projected financial positions	250
Federal COVID Funds Compliance and Full Use	Review campus compliance with federal COVID-related funding requirements for FY22	150
National Collegiate Athletic Association (NCAA) Annual Report Review	Review the Office Athletics and Recreation's NCAA Revenues and Expense Reporting for Fiscal Year 2021 and confirm the accuracy of financial data included in that report	150
Gender-Based Scholarships Review	Review campus gender-based scholarships compliance with applicable regulations	200
	UC Santa Cruz sub-total	4,500

Internal Audit Plan: Planned Internal Audit Projects

UC SAN DIEGO - AUDITS	SCOPE STATEMENT	HOURS
Telehealth Services - Carryforward	Prior Year carryforward	300
FY22 Project Closeout (Misc) - Carryforward	Prior Year carryforward	200
UC Path – Payroll Errors, Segregation of Duties	The purpose of this review is to evaluate payroll errors at UCSD to determine the types of errors occurring, evaluate processes for timely correction, identify root causes, and assess controls to mitigate risks. The review will also assess separation of duties (SOD) within UCPath for local users (such as appropriate between approvers and transactors), approval and exception processes, and mitigating controls.	450
Oracle Financial Cloud (OFC) – Access Management	This review will assess whether internal controls and business processes for establishing and maintaining roles and profile configurations provide reasonable assurance that only authorized users have access to data and resources. Additionally, the review will assess processes for user provisioning (on-boarding), deprovisioning (termination), and job function changes. Analysis will also include evaluating segregation of duty conflicts in application management and business processes. Because the area under review relies on the effectiveness of other core IT general controls, the scope of the review may also include high-level assessment of the contract between UCSD and Oracle (service provider) and a review of independent third-party assessments on the control practices in place at the service provider's operating locations.	450
Marine Physical Laboratory (MPL) Recharge Rate	The objective of this review will be to evaluate the MPL Recharge Rate, and any proposed plans for future change, for compliance with University policy and federal regulations. The review may also include evaluation of whether the correct Facilities and Administrative (F&A) rate is applied to sponsored research awards, based on where the research is occurring.	400

Internal Audit Plan: Planned Internal Audit Projects

UC SAN DIEGO (CONT.) AUDITS	SCOPE STATEMENT	HOURS
Graduate Division / Graduate Student Funding	The purpose of this audit project is to perform an overall assessment of the Graduate Division administrative internal control environment, and determine whether internal controls provide reasonable assurance that operations are effective, in compliance with University policy, and result in inaccurate financial reporting. A risk-based preliminary survey will be conducted to select areas of focused audit testing, which may include overall financial condition and deficits; graduate student funding streams; payment processes and cycletime; processing and posting of expenses to sponsored projects; retroactive corrections; and assessment of systems related issues.	450
Faculty Gifts	The purpose of this review will be to evaluate faculty donations to UCSD and the UCSD Foundation to determine whether internal controls provide reasonable assurance that processes for oversight of gift funds from faculty donors are effective and in compliance with University policy. This review may also include review of donations from corporate entities to evaluate the intended use of the funds, and consider whether elements which might suggest classification as a research agreement are present.	400
IT Security Reviews - Academic Units	The purpose of this review will be to assess whether information technology controls and business processes for select academic units provide reasonable assurance that operations are effective and information technology resources are appropriately secured. A risk-based preliminary survey will be conducted to select areas of focused audit testing, which may include security management program, risk management process, asset management, access control, encryption, physical and environmental security, network security management, operation management, supplier relationships, incident management and compliance with external requirements.	400
Canvas Learning Management System (LMS)	The purpose of this review will be to determine whether information technology controls and business processes for supporting the Canvas LMS provide reasonable assurance that operations are effective and system information is appropriately secured. A secondary objective will be to assess the use of Canvas LMS as a tool to satisfy commencement of academic activity (CAA) for Title IV program requirement compliance.	400

Internal Audit Plan: Planned Internal Audit Projects

UC SAN DIEGO (CONT.) AUDITS	SCOPE STATEMENT	HOURS
Department Review - Theatre & Dance	The purpose of this review will be to perform an overall assessment of the Department's administrative internal control environment, and determine whether internal controls provide reasonable assurance that operations are effective, in compliance with University policy, and result in accurate financial reporting. Subject to the risk-based preliminary survey results, the detailed scope of the review may include overall financial condition and deficits, payroll and benefits, transaction processing, contract and grant activities, service agreements and business contracts, equipment management, and department-based business transactions, among other areas.	350
Vice Chancellor Advancement Executive Accounts / Transition Review	The objective of our review will be to evaluate whether internal controls and business processes for oversight of Vice Chancellor of Advancement executive accounts provide reasonable assurance that operations are effective, efficient, and in compliance with University policy and procedures. The scope of our review may include internal controls for selected core business operations (such as payroll and timekeeping, travel and entertainment, procurement, etc.), delegations of authority, and detailed testing of expenses charged to executive accounts.	350
Contracting Out (Systemwide)	Evaluate processes and controls in place to facilitate compliance with contracting out requirements.	300
Admissions Data Analytics (Systemwide)	Systemwide retrospective analysis to identify undergraduate admissions decisions that could have been influenced by donations or an applicant's relationship to a member of the Senior Management Group (SMG).	250
Student Health	The purpose of this audit is to perform an overall assessment of Student Health Services to determine whether internal controls provide reasonable assurance that operations are effective, financial results are accurately reported, and activities are compliant with relevant policies, procedures, and regulatory requirements. Based on results of the preliminary survey, detailed testing may be performed in the areas of records management, personnel management and credentialing, scheduling, medical and pharmaceutical supplies and inventory, expenditure controls, and equipment inventory.	400

Internal Audit Plan: Planned Internal Audit Projects

UC SAN DIEGO (CONT.) AUDITS	SCOPE STATEMENT	HOURS
Sexual Violence and Sexual Harassment (SVSH) Protections in Clinical Settings	The purpose of this review will be to perform an overall assessment of SVSH protections in clinical settings, related administrative processes and internal control environment, and determine whether protocols provide reasonable assurance that SVSH monitoring practices in clinical settings have been appropriately implemented and are in compliance with University policy and legal and/or other requirements.	450
Authorizations	The purpose of this review will be to evaluate whether internal controls for authorizations for UC San Diego Health (UCSDH) services and procedures provide reasonable assurance that operations are effective, activities are compliant with relevant policies and procedures, and to identify the overall impact on UCSDH financial results. A preliminary survey will be performed to identify areas where prior authorizations are obtained, and to evaluate instances in which lack of authorization resulted in denials. Based on the preliminary survey, in depth analysis of the authorizations function in one or more areas or service lines may be performed. The review may include topics such as associated revenue cycle processes, clinician involvement and supporting technology.	400
Overlapping Surgery Policy	The purpose of this review will be to perform an overall assessment of whether administrative and internal control processes provide reasonable assurance that practices related to overlapping surgery and associated monitoring have been effectively implemented and are in compliance with UCSDH policy.	350
Epic Work Queue (WQ) Management	The objective of this review will be to evaluate whether internal controls and business processes for oversight and governance of Epic WQs provide reasonable assurance that operations are effective. The scope of our review will include internal control processes for the creation, assignment, deletion and general maintenance of Epic WQs. Preliminary survey may include assessment of roles and access provisioning; business processes, workflow and system controls; and corresponding electronic interfaces with UCSDH systems. Based on the results of the preliminary survey, detailed testing may be performed to validate internal controls and/or to review transactions and data on a sample basis.	350

Internal Audit Plan: Planned Internal Audit Projects

UC SAN DIEGO (CONT.) - AUDITS	SCOPE STATEMENT	HOURS
Department of Radiology	The purpose of this review will be to perform an overall assessment of Department of Radiology business operations to determine whether internal controls provide reasonable assurance that financial results are accurately reported, operations are effective and efficient, and activities are compliant with relevant policies & procedures. A risk-based preliminary survey will be conducted as a basis for selecting areas of focused audit testing, which may include overall financial condition and deficits, payroll and benefits (including faculty compensation), transaction processing, contract and grant activities, service agreements and business contracts, equipment management, and department-based business transactions.	400
Vice Chancellor Health Sciences Executive Accounts / Transition Review	The objective of our review will be to and evaluate whether internal controls and business processes for oversight for Vice Chancellor Health Sciences executive accounts provide reasonable assurance that operations are effective, efficient, and in compliance with University policy and procedures. The scope of our review may include internal controls for selected core business operations (such as payroll and timekeeping, travel and entertainment, procurement, etc.), delegations of authority, and detailed testing of expenses charged to executive accounts.	350
UC Health Affiliations (Systemwide)	Interim audit to evaluate the University's progress implementing Regents Policy 4405: Policy on Affiliations with Healthcare Organizations that Have Adopted Policy-Based Restrictions on Care.	250

Internal Audit Plan: Planned Internal Audit Projects

UC SAN DIEGO (CONT.) - ADVISORY SERVICES

	SCOPE STATEMENT	HOURS
Administrative Responsibilities	The purpose of this review will be to evaluate, from an advisory perspective, strategies for definition and communication of the roles and responsibilities of campus administrators. Consideration will be given to tools such as the Administrative Responsibilities Handbook, academic leadership onboarding processes, and integration with performance management.	200
Data Analytics - Financial Risk Analysis	Audit & Management Advisory Services (AMAS) will expand our data analytics capabilities to conduct analysis of financial transactions which may indicate increased risk. Various analytics will be defined and implemented to review trends and unusual transactions that might warrant further review. Areas of focus may include prior fiscal year end financial transactions that are subsequently reversed, which could mask deficit conditions, or unusual fluctuations in unit balances throughout the year. We will also consider overall financial risk by evaluating spend by vendor and approver. This information may also be used as part of the overall annual risk assessment process.	250
Campus Reconciliation Team Support	The purpose of this review will be to participate and support the Campus Reconciliation Team as needed in their efforts to assist departments and remediate Financial Information Systems (FIS) post-implementation issues by providing feedback on processes and controls, and performing other appropriate procedures as requested.	100
Behavioral Threat Assessment Team	The purpose of this review will be to evaluate, from an advisory perspective, the overall threat assessment function, including the management oversight structure, coordination between various campus departments, communication systems and methods, and the security of student records maintained by the team.	250
Construction Process Improvement	The purpose of this review will be to evaluate with Capital Program Management and Facilities Management opportunities to develop more consistent processes and a framework for reviewing decisions which impact overall project costs, such as those regarding design, materials, or sustainability, the timing of these decisions, and opportunity for improvement to reduce overall project costs.	250

Internal Audit Plan: Planned Internal Audit Projects

UC SAN DIEGO (CONT.) - ADVISORY SERVICES

	SCOPE STATEMENT	HOURS
Enterprise System Renewal - Identity and Access Management	This advisory service project is planned based on risks associated with project management challenges associated with the implementation of an enterprise-wide administrative information system, in support of key business processes.	100
Student Information System	The purpose of this review will be to evaluate, from an advisory perspective, the planning efforts of the campus SIS implementation to ensure that adequate consideration is given to risks inherent to an enterprise resource planning (ERP) implementation. Areas of participation may include requirements gathering and procurement; compliance considerations, change management, business process review, review decision making process, design and implementation of internal controls.	200
Foreign Engagement Monitoring	The purpose of this review is to provide advisory services support and partner with the Research Compliance and Integrity Office (RCI) to conduct monitoring reviews of foreign engagements for sampled researchers. AMAS intends to collaborate on approach, standard operating procedures, and sampling methods as needed.	300
Financial Report Validation	The objective of this review will be to evaluate, from an advisory perspective, processes related to the development of reports to ensure accuracy and completeness of new or modified reports. Detailed review may include governance structure for reports development, quality assurance processes, adoption and utilization of reports, and other evolving issues.	200
Cybersecurity Certification for Research (CCR)	The purpose of this review will be to evaluate, from an advisory perspective, the planning efforts of the campus CCR implementation to ensure that the program is implemented as expected and risks that impact the implementation of the program are addressed timely.	100
	UC San Diego sub-total	9,600

Internal Audit Plan: Planned Internal Audit Projects

UC SAN FRANCISCO - AUDITS	SCOPE STATEMENT	HOURS
School of Dentistry – Departmental Review	Review administrative and financial practices in selected School of Dentistry departments to assess their compliance with University policies.	300
School of Medicine – Departmental Review	Review administrative and financial practices in selected School of Medicine departments to assess their compliance with University policies.	250
Gift Administration	Review the new gift processing system post-implementation to determine the adequacy of the controls and workflows built within the system to ensure efficient and accurate processing and administration of gifts.	300
High Performance Computing Environment – Wynton	Determine the adequacy of data/system security controls for compliance with University policies and adequate risk mitigation.	300
International Research – Working Capital Advances	Assess the adequacy of controls in place for oversight and reconciliation of working capital advances provided to subrecipients.	300
Federal Awards – Subrecipient vs Contractor Classification	Review Supply Chain Management’s process for determination of service contractors to ensure compliance with Uniform Guidance on subrecipient and contractor determinations.	250
Chancellor's Expenses (G-45) (Systemwide)	Review annual Presidential expense reports to ensure that they have been prepared, reviewed, and submitted in accordance with policy.	200
Access to patient health records (Clarity)	Evaluate the internal controls and processes for granting access to patient health records for research purposes.	350

Internal Audit Plan: Planned Internal Audit Projects

UC SAN FRANCISCO (CONT.) - AUDITS	SCOPE STATEMENT	HOURS
Drug Diversion Prevention and Monitoring	Assess controls in place to prevent and detect diversion of controlled substances and high-cost drugs.	250
Clinic Operations	Evaluate key operational processes at select clinics to validate that effective controls are in place.	300
UC Health Affiliations (Systemwide)	Interim audit to evaluate the University's progress implementing Regents Policy 4405: Policy on Affiliations with Healthcare Organizations that Have Adopted Policy-Based Restrictions on Care.	300
Ethical Religious Directives / Contract Language	Assess implementation of guidance and directives' core elements and progress toward full implementation.	250
Quality and Safety – Incident Reporting	Evaluate the effectiveness of the internal controls and processes for incident reporting including appropriate notification and escalation of incidences, root cause analysis and trending to identify risk areas.	250
Health Affiliate IT Security Assessment	Validate remediation plans and actions based on external security audits that have been completed.	250
Construction	Review construction project workflows built-in the Unifier Business system to ensure adherence to policies and procedures and effective management of projects.	450
Clinical Funds Flow	Assess the adequacy of the internal controls and processes for ensuring accurate assessment and allocation of clinical funds.	300
Personnel Records Management	Review the employee personnel records retained for completeness and compliance with University record retention policies	300
Remote work – Equipment Management	Review the tracking and accounting of computer equipment issued to employees for remote work use.	300

Internal Audit Plan: Planned Internal Audit Projects

UC SAN FRANCISCO (CONT.) - AUDITS	SCOPE STATEMENT	HOURS
Executive Compensation (Systemwide)	Verify the accuracy, completeness, and timely preparation of the Annual Report on Executive Compensation.	250
Contracting Out (Systemwide)	Evaluate processes and controls in place to facilitate compliance with contracting out requirements.	300
3rd Party Vendor Access – Follow-up on High-Risk Corrective Actions	Validate that actions taken to address high-risk observations from a prior audit have been sustained.	200
Vaccine Exception Validation	Validate compliance with non-pharmaceutical interventions, such as testing, for COVID-19 approved vaccine exceptions.	150
Department IT System/Application	Evaluate the processes and controls for protecting research data/system(s) to ensure compliance with University policies and adequate risk mitigation.	300
Investigational Drugs	Review the processes and controls for management of investigational drugs.	300

Internal Audit Plan: Planned Internal Audit Projects

UC SAN FRANCISCO (CONT.) - ADVISORY SERVICES

	SCOPE STATEMENT	HOURS
M3+ Recruitment Standard Work	Assess and advise on implementation of recruitment equity processes for leadership (M3 and above).	200
Pharmacy Drug Pricing 340B Program Corrective Actions	Review processes for following up on issues identified in 340B program monitoring to ensure actions are taken.	150
Interpreter Use Data Analytics	Analyze use of interpreters for patient care to determine if additional efforts are needed.	300
Medication Overrides Monitoring	Evaluate monitoring processes for medication overrides for efficiency and effectiveness.	150
Telework Equity Analytics	Analyze overall distribution of telework agreements to identify variances that may require additional review.	150
Payments to Research Subjects	Assess the risks and controls for different payment options for research subject participants.	150
Campus Supply Chain Analytics	Develop compliance and operational controls dashboard metrics in collaboration with Supply Chain Management (SCM) for Procurement and Accounts Payable activities.	350
Research Freezers – Temperature Monitoring	Review controls for monitoring freezer temperatures in research laboratories.	250
School of Pharmacy (SOP) Leadership Transition Review	Assess the financial performance and internal controls over accounting and administrative practices within the School of Pharmacy.	300

Internal Audit Plan: Planned Internal Audit Projects

UC SAN FRANCISCO (CONT.) - ADVISORY SERVICES

	SCOPE STATEMENT	HOURS
UC Path Benefits and Leave of Absence Management	Evaluate the adequacy of the local campus internal controls and processes for the management of employee benefits and leave of absence.	300
Innovation and Start-Ups	Assess and advise on the controls to address changes in technology transfer processes, income and ownership sharing related to start –ups initiated by UCSF faculty.	150
Data Analytics Program	Perform enterprise-wide data analytics to identify areas for continuous improvement and monitoring of controls.	200
Financial and Compliance Dashboard	Continue with optimization of the financial and compliance dashboard.	300
Fraud Risk Analysis	Continue education and training on fraud risk awareness developing fraud risk assessment and analysis to identify high risk areas for fraud and assist departments to design and implement control activities to prevent and detect fraud.	300
	UC San Francisco sub-total	9,950
	TOTAL AUDIT AND ADVISORY SERVICE PROJECT HOURS	96,333

2022 Market Reference Zones for Senior Management Group Positions
 Located at the Campuses, LBNL, UC-ANR, and the Office of the President

\$ in thousands

MRZ Title	2022 MRZs - Effective 8/1/22 (Base Salary)					2022 MRZs - Effective 8/1/22 (Total Cash Compensation)				
	P25	P50	P60	P75	P90	P25	P50	P60	P75	P90
Level One SMGs - Campuses										
Chancellor	\$558.7	\$832.4	\$942.0	\$1231.2	\$1639.7	\$569.1	\$832.4	\$985.1	\$1345.0	\$1908.9
Level Two SMGs - Campuses										
Executive Vice Chancellor and Provost	\$414.8	\$487.4	\$510.3	\$669.4	\$784.3	\$414.8	\$487.4	\$510.3	\$669.4	\$784.3
Chief Campus Counsel	\$249.3	\$334.9	\$355.6	\$429.4	\$485.8	\$301.9	\$422.7	\$459.0	\$569.5	\$688.4
Dean - University Extension	\$225.1	\$272.0	\$290.6	\$356.4	\$389.0	\$225.1	\$272.0	\$290.6	\$356.4	\$389.0
University Librarian	\$204.0	\$256.7	\$270.8	\$316.6	\$356.0	\$204.0	\$256.7	\$270.8	\$316.6	\$356.0
Vice Chancellor - Academic Personnel	\$201.8	\$273.9	\$281.5	\$367.7	\$397.0	\$201.8	\$273.9	\$281.5	\$367.7	\$397.0
Vice Chancellor - Budget and Planning	\$190.6	\$241.7	\$259.9	\$306.4	\$354.6	\$197.0	\$274.1	\$296.9	\$358.3	\$438.6
Vice Chancellor - Business Administration	\$240.5	\$347.2	\$372.2	\$467.3	\$577.1	\$257.7	\$438.7	\$476.1	\$627.7	\$830.9
Vice Chancellor - Business Development, Innovation and Partnerships (UCSF)	\$365.1	\$443.1	\$461.5	\$489.2	\$656.8	\$429.0	\$504.7	\$547.3	\$611.3	\$769.8
Vice Chancellor - Chief Financial Officer (Campus Only)	\$300.4	\$399.8	\$426.6	\$514.0	\$619.6	\$327.3	\$479.6	\$543.5	\$708.0	\$871.5
Vice Chancellor - Chief Financial Officer (Health System and Campus) <i>(Previous MRZ Title: VC-Health System and Campus; Oversees Finance for General Campus, Health Sciences Schools and/or Med Ctr Financials)</i>	\$382.8	\$478.6	\$513.3	\$571.1	\$688.4	\$434.7	\$576.0	\$657.9	\$786.7	\$968.4
Vice Chancellor - Community and Government Relations	\$215.5	\$252.6	\$264.4	\$297.5	\$371.8	\$227.0	\$280.4	\$299.8	\$347.5	\$438.9
Vice Chancellor - Development/University Relations	\$347.1	\$464.7	\$491.9	\$602.6	\$661.7	\$347.1	\$464.7	\$491.9	\$602.6	\$661.7
Vice Chancellor - Diversity, Equity and Inclusion <i>(Previous MRZ Title: VC-Equity and Inclusion)</i>	\$227.7	\$282.4	\$304.7	\$360.3	\$420.1	\$256.8	\$339.1	\$375.1	\$454.6	\$546.5
Vice Chancellor - Graduate Studies and Dean - Graduate Division	\$216.6	\$285.4	\$300.2	\$348.8	\$395.4	\$216.6	\$285.4	\$300.2	\$348.8	\$395.4
Vice Chancellor - Health Sciences and Dean - School of Medicine	\$625.4	\$859.4	\$865.9	\$891.2	\$1059.3	\$625.4	\$859.4	\$865.9	\$891.2	\$1059.3
Vice Chancellor - Health Sciences ¹ <i>(Not dually appointed as Dean-SOM)</i>	\$909.0	\$1037.4	\$1082.3	\$1151.3	\$1276.9	\$909.0	\$1037.4	\$1082.3	\$1151.3	\$1276.9
Vice Chancellor - Information Technology and Chief Information Officer (Campus Only) <i>(Previous MRZ Title: VC - Information Technology)</i>	\$284.1	\$340.4	\$365.0	\$418.4	\$491.1	\$307.0	\$392.7	\$427.4	\$507.6	\$626.6
Vice Chancellor - Information Technology and Chief Information Officer (Health System and Campus) ¹ <i>(Oversees IT for General Campus, Health Sciences Schools and/or Med Ctr IT)</i>	\$330.4	\$381.0	\$411.1	\$460.2	\$540.2	\$367.6	\$450.9	\$492.3	\$558.4	\$689.3
Vice Chancellor - Marine Sciences and Dean - Graduate School of Marine Sciences	\$397.6	\$408.6	\$428.9	\$459.5	\$493.2	\$397.6	\$408.6	\$428.9	\$459.5	\$493.2

¹ New MRZ

**2022 Market Reference Zones for Senior Management Group Positions
Located at the Campuses, LBNL, UC-ANR, and the Office of the President**

\$ in thousands

MRZ Title	2022 MRZs - Effective 8/1/22 (Base Salary)					2022 MRZs - Effective 8/1/22 (Total Cash Compensation)				
	P25	P50	P60	P75	P90	P25	P50	P60	P75	P90
Vice Chancellor - Research	\$314.5	\$388.0	\$413.1	\$472.1	\$535.6	\$330.4	\$443.0	\$508.4	\$631.6	\$738.8
Vice Chancellor - Strategic Communications (Previous MRZ Title: VC-Communications)	\$203.5	\$250.0	\$274.2	\$313.9	\$364.9	\$220.5	\$277.2	\$309.5	\$364.3	\$402.6
Vice Chancellor - Student Affairs	\$247.8	\$312.3	\$329.1	\$376.0	\$393.7	\$247.8	\$312.3	\$329.1	\$376.0	\$393.7
Vice Chancellor - Undergraduate Education	\$229.6	\$295.7	\$324.2	\$452.1	\$539.5	\$229.6	\$295.7	\$324.2	\$452.1	\$539.5
Level One SMGs - Office of the President, UC Agriculture and Natural Resources, and Lawrence Berkeley National Laboratory										
President of the University	\$664.8	\$900.5	\$980.2	\$1133.0	\$1520.1	\$677.3	\$900.5	\$1029.1	\$1255.3	\$1813.7
Executive Vice President - Chief Financial Officer	\$362.3	\$531.4	\$566.5	\$627.4	\$731.1	\$392.3	\$705.1	\$788.5	\$922.0	\$1149.3
Executive Vice President - Chief Operating Officer	\$360.0	\$455.8	\$484.5	\$554.2	\$682.7	\$409.6	\$556.0	\$601.6	\$696.7	\$908.1
Executive Vice President - UC Health	\$735.7	\$847.2	\$917.1	\$1021.9	\$1201.4	\$808.6	\$847.2	\$1086.9	\$1446.4	\$1671.5
Executive Vice President - Academic Affairs and Provost	\$395.2	\$449.5	\$510.0	\$570.3	\$674.0	\$395.2	\$449.5	\$510.0	\$570.3	\$674.0
Lawrence Berkeley National Laboratory, Director	\$402.6	\$505.9	\$544.4	\$602.1	\$603.6	\$461.2	\$602.1	\$625.7	\$661.1	\$817.1
Secretary and Chief of Staff to the Regents	\$247.9	\$303.6	\$329.9	\$369.7	\$462.3	\$265.1	\$341.9	\$384.4	\$448.3	\$577.0
Senior Vice President - Chief Compliance and Audit Officer	\$296.0	\$355.2	\$390.3	\$442.1	\$485.3	\$307.8	\$417.4	\$471.8	\$552.3	\$691.2
Senior Vice President - External Relations	\$280.9	\$366.1	\$390.4	\$435.2	\$542.2	\$303.4	\$438.5	\$472.5	\$532.0	\$660.9
Vice President - Agriculture and Natural Resources (UC-ANR)	\$305.4	\$332.6	\$357.9	\$395.6	\$422.0	\$312.0	\$354.8	\$390.0	\$442.7	\$516.1
Vice President - Investments and Chief Investment Officer (OCIO)	\$633.6	\$695.6	\$766.8	\$873.6	\$923.0	\$1399.0	\$1747.7	\$2123.7	\$2698.5	\$2829.7
Vice President - Legal Affairs and General Counsel	\$366.4	\$501.8	\$533.4	\$591.5	\$682.7	\$387.8	\$601.5	\$657.2	\$752.3	\$950.2
Vice President - National Labs	\$294.1	\$402.4	\$439.8	\$495.9	\$623.6	\$351.3	\$563.7	\$620.3	\$705.2	\$1076.7
Level Two SMGs - Office of the President, UC Agriculture and Natural Resources, and Lawrence Berkeley National Laboratory										
Associate Vice President - Academic Programs and Strategic Initiatives (UC-ANR)	\$209.4	\$247.4	\$261.8	\$283.9	\$311.0	\$216.5	\$271.3	\$296.6	\$335.0	\$413.2
Associate Vice President - Budget Analysis and Planning	\$226.1	\$277.2	\$292.8	\$321.2	\$371.0	\$230.8	\$311.1	\$334.6	\$374.9	\$442.5
Associate Vice President - Business Operations (UC-ANR)	\$237.9	\$291.2	\$304.2	\$335.8	\$423.4	\$250.5	\$314.3	\$358.1	\$435.8	\$518.2
Associate Vice President - Capital Financial Planning and Analysis	\$253.6	\$354.7	\$373.6	\$408.3	\$480.4	\$283.3	\$391.5	\$436.1	\$509.7	\$734.8
Associate Vice President - Capital Programs and Sustainability (Previous MRZ Title: AVP-Energy and Sustainability)	\$245.3	\$272.8	\$300.0	\$340.7	\$381.7	\$260.0	\$322.6	\$370.7	\$443.0	\$586.2
Associate Vice President - Chief Procurement Officer	\$250.2	\$303.4	\$329.8	\$362.6	\$423.8	\$276.2	\$348.4	\$393.1	\$453.2	\$567.6
Associate Vice President - Chief Risk Officer	\$252.0	\$289.4	\$305.4	\$329.6	\$445.1	\$272.6	\$315.7	\$338.9	\$374.0	\$505.9

**2022 Market Reference Zones for Senior Management Group Positions
Located at the Campuses, LBNL, UC-ANR, and the Office of the President**

\$ in thousands

MRZ Title	2022 MRZs - Effective 8/1/22 (Base Salary)					2022 MRZs - Effective 8/1/22 (Total Cash Compensation)				
	P25	P50	P60	P75	P90	P25	P50	P60	P75	P90
Associate Vice President - Chief Strategy Officer (UC Health)	\$490.4	\$564.8	\$611.4	\$681.3	\$801.0	\$539.1	\$564.8	\$724.6	\$964.3	\$1114.4
Associate Vice President - Chief Transformation Officer (UC Health)	\$429.4	\$528.0	\$563.4	\$616.4	\$689.0	\$477.2	\$558.2	\$643.2	\$770.7	\$938.5
Associate Vice President - Federal Government Relations	\$254.5	\$312.3	\$345.0	\$394.0	\$451.3	\$296.0	\$352.2	\$388.0	\$441.3	\$727.0
Associate Vice President - Systemwide Controller	\$228.0	\$300.9	\$340.5	\$401.1	\$480.0	\$235.3	\$374.0	\$416.3	\$481.0	\$608.6
Associate Vice President and Director - State Government Relations	\$227.4	\$265.5	\$282.4	\$314.5	\$347.9	\$246.9	\$290.0	\$311.0	\$349.4	\$419.1
Associate Vice President for National Labs	\$250.0	\$342.1	\$373.8	\$421.5	\$530.0	\$298.6	\$479.1	\$527.2	\$599.4	\$915.2
Chief Legal Counsel for Health Services (One Position - UC Legal)	\$384.6	\$402.5	\$455.3	\$534.4	\$653.1	\$445.4	\$539.3	\$565.3	\$604.2	\$662.5
Deputy General Counsel (Four Positions - UC Legal)	\$257.2	\$312.8	\$329.5	\$365.9	\$411.5	\$274.8	\$342.8	\$370.8	\$424.1	\$498.2
Investment Services - Chief Operating Officer (OCIO)	\$269.4	\$363.0	\$390.5	\$431.7	\$509.3	\$634.4	\$904.2	\$1079.7	\$1341.0	\$1535.1
Lawrence Berkeley National Laboratory (LBNL) Associate Laboratory Director	\$360.4	\$399.8	\$448.9	\$522.7	\$632.4	\$395.2	\$559.1	\$750.1	\$1036.5	\$1358.5
Lawrence Berkeley National Laboratory (LBNL) Chief Financial Officer	\$298.6	\$402.7	\$459.5	\$544.8	\$680.7	\$359.4	\$630.7	\$783.1	\$1011.8	\$1389.9
Lawrence Berkeley National Laboratory (LBNL) Chief Laboratory Counsel	\$293.9	\$369.2	\$404.6	\$457.6	\$574.9	\$364.0	\$536.2	\$627.5	\$764.6	\$1092.3
Lawrence Berkeley National Laboratory (LBNL) Chief Operating Officer	\$275.9	\$355.3	\$385.6	\$431.2	\$620.9	\$334.3	\$431.2	\$485.6	\$567.3	\$1196.2
Lawrence Berkeley National Laboratory (LBNL) Deputy Laboratory Director - Research	\$356.4	\$407.6	\$435.8	\$478.2	\$516.7	\$404.7	\$506.3	\$574.6	\$676.9	\$774.7
Medical Director, Student Health Insurance (UC Health)	\$206.7	\$266.4	\$298.8	\$347.4	\$458.6	\$237.3	\$314.7	\$352.2	\$408.4	\$545.5
Senior Managing Director - Investments (OCIO)	\$343.7	\$406.9	\$439.5	\$488.4	\$561.6	\$551.1	\$742.1	\$868.9	\$1026.6	\$2233.0
Vice President and Chief Academic Officer (UC Health) (Previous MRZ Title: AVP-Health Sciences)	\$323.5	\$368.7	\$421.4	\$522.7	\$580.0	\$354.6	\$377.9	\$458.6	\$601.8	\$688.1
Vice President - Graduate, Undergraduate and Equity Affairs (Previous MRZ Title: VP - Education Partnership)	\$311.3	\$339.4	\$359.3	\$433.2	\$498.7	\$311.3	\$339.4	\$359.3	\$433.2	\$498.7
Vice President - Information Technology and Chief Information Officer	\$309.3	\$414.3	\$447.3	\$490.4	\$572.0	\$351.3	\$472.9	\$547.4	\$652.6	\$771.7
Vice President - Institutional Research and Academic Planning	\$254.6	\$310.2	\$342.9	\$383.6	\$448.8	\$254.6	\$310.2	\$342.9	\$383.6	\$448.8
Vice President - Research and Innovation (Previous MRZ Title: VP-Research and Graduate Studies)	\$414.3	\$486.8	\$517.8	\$566.6	\$642.7	\$434.5	\$554.5	\$635.0	\$758.0	\$886.6
Vice President - Systemwide Human Resources	\$267.1	\$351.3	\$390.7	\$438.9	\$515.5	\$283.2	\$430.3	\$498.8	\$590.7	\$714.4
Vice Provost - Academic Personnel	\$261.2	\$327.0	\$338.2	\$397.2	\$428.7	\$261.2	\$327.0	\$338.2	\$397.2	\$428.7

2022 Market Reference Zones for Non-State Funded UC Health Senior Management Group Positions

\$ in thousands

MRZ Title	2022 MRZs - Effective 8/1/22 (Base Salary)					2022 MRZs - Effective 8/1/22 (Total Cash Compensation)				
	P25	P50	P60	P75	P90	P25	P50	P60	P75	P90
Level One SMGs - Medical Centers										
Chief Executive Officer (Medical Center) UCSF Health	\$1436.1	\$1751.0	\$1862.6	\$2030.0	\$2644.4	\$1779.3	\$2271.4	\$2696.8	\$3334.8	\$4462.9
Chief Executive Officer (Medical Center) UCLA Health	\$1436.1	\$1751.0	\$1862.6	\$2030.0	\$2644.4	\$1779.3	\$2271.4	\$2696.8	\$3334.8	\$4462.9
Chief Executive Officer (Medical Center) UCD Health	\$954.8	\$1404.7	\$1524.1	\$1703.2	\$1996.0	\$1153.7	\$1560.7	\$1819.6	\$2208.0	\$3022.6
Chief Executive Officer (Medical Center) UCSD Health	\$954.8	\$1404.7	\$1524.1	\$1703.2	\$1996.0	\$1153.7	\$1560.7	\$1819.6	\$2208.0	\$3022.6
Chief Executive Officer (Medical Center) UCI Health	\$802.8	\$1045.2	\$1167.2	\$1350.1	\$1531.3	\$868.8	\$1155.0	\$1278.3	\$1463.3	\$1839.1
Chief Executive Officer (Community Based Services) UCR Health	\$386.1	\$461.2	\$530.6	\$634.7	\$719.0	\$452.8	\$563.0	\$622.7	\$712.2	\$911.9
Level Two SMGs - Medical Centers										
Chief Financial Officer (Medical Center) UCSF Health	\$750.7	\$893.7	\$950.5	\$1035.7	\$1361.0	\$879.3	\$1078.5	\$1236.7	\$1474.0	\$1733.8
Chief Financial Officer (Medical Center) UCLA Health	\$750.7	\$893.7	\$950.5	\$1035.7	\$1361.0	\$879.3	\$1078.5	\$1236.7	\$1474.0	\$1733.8
Chief Financial Officer (Medical Center) UCD Health	\$551.4	\$712.4	\$768.1	\$851.7	\$992.9	\$621.8	\$833.4	\$917.7	\$1044.3	\$1405.0
Chief Financial Officer (Medical Center) UCSD Health	\$551.4	\$712.4	\$768.1	\$851.7	\$992.9	\$621.8	\$833.4	\$917.7	\$1044.3	\$1405.0
Chief Financial Officer (Medical Center) UCI Health	\$405.5	\$555.8	\$611.7	\$695.6	\$810.1	\$439.5	\$623.6	\$683.6	\$773.6	\$982.0
Chief Information Officer (Medical Center) UCSF Health	\$498.6	\$580.1	\$620.7	\$681.6	\$814.8	\$561.6	\$710.7	\$792.7	\$915.7	\$1032.5
Chief Information Officer (Medical Center) UCLA Health	\$498.6	\$580.1	\$620.7	\$681.6	\$814.8	\$561.6	\$710.7	\$792.7	\$915.7	\$1032.5
Chief Information Officer (Medical Center) UCD Health	\$458.7	\$522.6	\$558.1	\$611.4	\$713.6	\$505.8	\$588.2	\$637.2	\$710.7	\$919.7
Chief Information Officer (Medical Center) UCSD Health	\$458.7	\$522.6	\$558.1	\$611.4	\$713.6	\$505.8	\$588.2	\$637.2	\$710.7	\$919.7
Chief Information Officer (Medical Center) UCI Health	\$393.4	\$472.2	\$492.5	\$522.8	\$564.7	\$435.2	\$496.5	\$528.0	\$575.3	\$675.3
Chief Medical Officer (Medical Center) UCSF Health	\$627.1	\$738.9	\$849.0	\$1014.2	\$1185.8	\$749.6	\$997.2	\$1093.3	\$1237.3	\$1528.9
Chief Medical Officer (Medical Center) UCLA Health ¹	\$627.1	\$738.9	\$849.0	\$1014.2	\$1185.8	\$749.6	\$997.2	\$1093.3	\$1237.3	\$1528.9
Chief Medical Officer (Medical Center) UCD Health	\$574.9	\$663.9	\$719.0	\$801.7	\$1048.0	\$648.0	\$752.8	\$851.6	\$999.8	\$1277.2
Chief Medical Officer (Medical Center) UCSD Health	\$574.9	\$663.9	\$719.0	\$801.7	\$1048.0	\$648.0	\$752.8	\$851.6	\$999.8	\$1277.2
Chief Medical Officer (Medical Center) UCI Health	\$542.5	\$597.0	\$626.6	\$670.9	\$765.8	\$573.9	\$659.7	\$695.3	\$748.7	\$866.2

¹ New MRZ

2022 Market Reference Zones for Non-State Funded UC Health Senior Management Group Positions

\$ in thousands

MRZ Title	2022 MRZs - Effective 8/1/22 (Base Salary)					2022 MRZs - Effective 8/1/22 (Total Cash Compensation)				
	P25	P50	P60	P75	P90	P25	P50	P60	P75	P90
Chief Nursing Officer (Medical Center) UCSF Health ¹	\$442.5	\$486.0	\$521.6	\$574.9	\$648.4	\$533.9	\$635.0	\$674.8	\$734.7	\$800.4
Chief Nursing Officer (Medical Center) UCLA Health	\$442.5	\$486.0	\$521.6	\$574.9	\$648.4	\$533.9	\$635.0	\$674.8	\$734.7	\$800.4
Chief Nursing Officer (Medical Center) UCD Health	\$398.1	\$446.1	\$477.5	\$524.6	\$573.9	\$407.3	\$536.0	\$579.8	\$645.6	\$734.3
Chief Nursing Officer (Medical Center) UCSD Health ²	\$398.1	\$446.1	\$477.5	\$524.6	\$573.9	\$407.3	\$536.0	\$579.8	\$645.6	\$734.3
Chief Nursing Officer (Medical Center) UCI Health	\$327.3	\$392.0	\$413.6	\$446.1	\$530.9	\$365.6	\$408.2	\$455.4	\$526.3	\$628.5
Chief Operating Officer (Medical Center) UCSF Health	\$881.9	\$1032.1	\$1081.2	\$1154.7	\$1496.7	\$1028.4	\$1394.4	\$1505.5	\$1672.1	\$1834.2
Chief Operating Officer (Medical Center) UCLA Health	\$881.9	\$1032.1	\$1081.2	\$1154.7	\$1496.7	\$1028.4	\$1394.4	\$1505.5	\$1672.1	\$1834.2
Chief Operating Officer (Hospital Division and Chief Administrator) UCD Health ³	\$626.0	\$836.2	\$911.2	\$1023.8	\$1155.3	\$709.6	\$979.6	\$1103.3	\$1289.0	\$1643.2
Chief Operating Officer (Ambulatory Services) UCD Health ^{3,4}	\$376.0	\$452.9	\$477.4	\$514.1	\$632.8	\$432.8	\$529.5	\$568.3	\$626.5	\$860.1
Chief Operating Officer (Sr. Vice President, Clinical Practice and Ambulatory Care) UCSD Health ⁵	\$376.0	\$452.9	\$477.4	\$514.1	\$632.8	\$432.8	\$529.5	\$568.3	\$626.5	\$860.1
Chief Operating Officer (Physician Network) UCSD Health ⁵	\$279.1	\$411.2	\$448.4	\$504.2	\$596.3	\$359.0	\$467.3	\$550.5	\$675.3	\$775.9
Chief Operating Officer (Medical Center) UCI Health	\$518.0	\$626.9	\$691.0	\$787.0	\$992.9	\$579.4	\$718.6	\$801.1	\$924.9	\$1190.4
Chief Strategy Officer and President, Health Affiliates Network, UCSF Health	\$701.0	\$812.8	\$868.4	\$952.0	\$1154.5	\$808.2	\$1014.8	\$1092.8	\$1209.9	\$1471.1
Chief Strategy Officer, UCLA Health	\$642.6	\$745.0	\$796.1	\$872.6	\$1058.3	\$740.9	\$930.2	\$1001.8	\$1109.0	\$1348.5
Chief Strategy Officer, UCD Health ¹	\$499.8	\$616.9	\$652.7	\$706.5	\$799.5	\$599.7	\$727.8	\$795.5	\$897.0	\$1067.6
Chief Strategy Officer, UCSD Health ¹	\$499.8	\$616.9	\$652.7	\$706.5	\$799.5	\$599.7	\$727.8	\$795.5	\$897.0	\$1067.6
Chief Strategy Officer, UCI Health ¹	\$403.0	\$486.0	\$536.2	\$611.6	\$680.8	\$440.5	\$556.3	\$603.5	\$674.5	\$766.5
Sr. Vice President, Adult Services, UCSF Health	\$601.4	\$696.7	\$745.9	\$819.8	\$949.1	\$809.8	\$940.6	\$1003.0	\$1096.6	\$1265.7
Sr. Vice President, Children's Services, UCSF Health	\$724.0	\$840.4	\$892.4	\$970.5	\$1099.8	\$899.4	\$1060.2	\$1168.0	\$1329.5	\$1590.6

RESOLUTION

Pursuant to the *Policy on Security Clearance for Access to Federal Classified Information* adopted on March 29, 2012, and amended on December 30, 2015 and March 16, 2017, and this Resolution, the following named Key Management Personnel member as defined in Regents Policy 1600 shall not require, shall not have, and can be effectively excluded from access to all classified information and/or special nuclear material released to the Regents of the University of California until such individual is granted the required access authorization from the cognizant security agency. And, as a consequence of this Resolution, such individual does not occupy a position that would enable him to adversely affect the policies or practices of the University of California, or its subsidiary, regarding the performance of classified contracts for the United States Government.

NAME

TITLE

Richard Leib

Chair of the Board of Regents of the University of California

2022 Market Reference Zones for Non-State Funded UC Health Senior Management Group Positions

\$ in thousands

MRZ Title	2022 MRZs - Effective 8/1/22 (Base Salary)					2022 MRZs - Effective 8/1/22 (Total Cash Compensation)				
	P25	P50	P60	P75	P90	P25	P50	P60	P75	P90
Level One SMGs - Medical Centers										
Chief Executive Officer (Medical Center) UCSF Health	\$1436.1	\$1751.0	\$1862.6	\$2030.0	\$2644.4	\$1779.3	\$2271.4	\$2696.8	\$3334.8	\$4462.9
Chief Executive Officer (Medical Center) UCLA Health	\$1436.1	\$1751.0	\$1862.6	\$2030.0	\$2644.4	\$1779.3	\$2271.4	\$2696.8	\$3334.8	\$4462.9
Chief Executive Officer (Medical Center) UCD Health	\$954.8	\$1404.7	\$1524.1	\$1703.2	\$1996.0	\$1153.7	\$1560.7	\$1819.6	\$2208.0	\$3022.6
Chief Executive Officer (Medical Center) UCSD Health	\$954.8	\$1404.7	\$1524.1	\$1703.2	\$1996.0	\$1153.7	\$1560.7	\$1819.6	\$2208.0	\$3022.6
Chief Executive Officer (Medical Center) UCI Health	\$802.8	\$1045.2	\$1167.2	\$1350.1	\$1531.3	\$868.8	\$1155.0	\$1278.3	\$1463.3	\$1839.1
Chief Executive Officer (Community Based Services) UCR Health	\$386.1	\$461.2	\$530.6	\$634.7	\$719.0	\$452.8	\$563.0	\$622.7	\$712.2	\$911.9
Level Two SMGs - Medical Centers										
Chief Financial Officer (Medical Center) UCSF Health	\$750.7	\$893.7	\$950.5	\$1035.7	\$1361.0	\$879.3	\$1078.5	\$1236.7	\$1474.0	\$1733.8
Chief Financial Officer (Medical Center) UCLA Health	\$750.7	\$893.7	\$950.5	\$1035.7	\$1361.0	\$879.3	\$1078.5	\$1236.7	\$1474.0	\$1733.8
Chief Financial Officer (Medical Center) UCD Health	\$551.4	\$712.4	\$768.1	\$851.7	\$992.9	\$621.8	\$833.4	\$917.7	\$1044.3	\$1405.0
Chief Financial Officer (Medical Center) UCSD Health	\$551.4	\$712.4	\$768.1	\$851.7	\$992.9	\$621.8	\$833.4	\$917.7	\$1044.3	\$1405.0
Chief Financial Officer (Medical Center) UCI Health	\$405.5	\$555.8	\$611.7	\$695.6	\$810.1	\$439.5	\$623.6	\$683.6	\$773.6	\$982.0
Chief Information Officer (Medical Center) UCSF Health	\$498.6	\$580.1	\$620.7	\$681.6	\$814.8	\$561.6	\$710.7	\$792.7	\$915.7	\$1032.5
Chief Information Officer (Medical Center) UCLA Health	\$498.6	\$580.1	\$620.7	\$681.6	\$814.8	\$561.6	\$710.7	\$792.7	\$915.7	\$1032.5
Chief Information Officer (Medical Center) UCD Health	\$458.7	\$522.6	\$558.1	\$611.4	\$713.6	\$505.8	\$588.2	\$637.2	\$710.7	\$919.7
Chief Information Officer (Medical Center) UCSD Health	\$458.7	\$522.6	\$558.1	\$611.4	\$713.6	\$505.8	\$588.2	\$637.2	\$710.7	\$919.7
Chief Information Officer (Medical Center) UCI Health	\$393.4	\$472.2	\$492.5	\$522.8	\$564.7	\$435.2	\$496.5	\$528.0	\$575.3	\$675.3
Chief Medical Officer (Medical Center) UCSF Health	\$627.1	\$738.9	\$849.0	\$1014.2	\$1185.8	\$749.6	\$997.2	\$1093.3	\$1237.3	\$1528.9
Chief Medical Officer (Medical Center) UCLA Health ¹	\$627.1	\$738.9	\$849.0	\$1014.2	\$1185.8	\$749.6	\$997.2	\$1093.3	\$1237.3	\$1528.9
Chief Medical Officer (Medical Center) UCD Health	\$574.9	\$663.9	\$719.0	\$801.7	\$1048.0	\$648.0	\$752.8	\$851.6	\$999.8	\$1277.2
Chief Medical Officer (Medical Center) UCSD Health	\$574.9	\$663.9	\$719.0	\$801.7	\$1048.0	\$648.0	\$752.8	\$851.6	\$999.8	\$1277.2
Chief Medical Officer (Medical Center) UCI Health	\$542.5	\$597.0	\$626.6	\$670.9	\$765.8	\$573.9	\$659.7	\$695.3	\$748.7	\$866.2

¹ New MRZ

2022 Market Reference Zones for Non-State Funded UC Health Senior Management Group Positions

\$ in thousands

MRZ Title	2022 MRZs - Effective 8/1/22 (Base Salary)					2022 MRZs - Effective 8/1/22 (Total Cash Compensation)				
	P25	P50	P60	P75	P90	P25	P50	P60	P75	P90
Chief Nursing Officer (Medical Center) UCSF Health ¹	\$442.5	\$486.0	\$521.6	\$574.9	\$648.4	\$533.9	\$635.0	\$674.8	\$734.7	\$800.4
Chief Nursing Officer (Medical Center) UCLA Health	\$442.5	\$486.0	\$521.6	\$574.9	\$648.4	\$533.9	\$635.0	\$674.8	\$734.7	\$800.4
Chief Nursing Officer (Medical Center) UCD Health	\$398.1	\$446.1	\$477.5	\$524.6	\$573.9	\$407.3	\$536.0	\$579.8	\$645.6	\$734.3
Chief Nursing Officer (Medical Center) UCSD Health ²	\$398.1	\$446.1	\$477.5	\$524.6	\$573.9	\$407.3	\$536.0	\$579.8	\$645.6	\$734.3
Chief Nursing Officer (Medical Center) UCI Health	\$327.3	\$392.0	\$413.6	\$446.1	\$530.9	\$365.6	\$408.2	\$455.4	\$526.3	\$628.5
Chief Operating Officer (Medical Center) UCSF Health	\$881.9	\$1032.1	\$1081.2	\$1154.7	\$1496.7	\$1028.4	\$1394.4	\$1505.5	\$1672.1	\$1834.2
Chief Operating Officer (Medical Center) UCLA Health	\$881.9	\$1032.1	\$1081.2	\$1154.7	\$1496.7	\$1028.4	\$1394.4	\$1505.5	\$1672.1	\$1834.2
Chief Operating Officer (Hospital Division and Chief Administrator) UCD Health ³	\$626.0	\$836.2	\$911.2	\$1023.8	\$1155.3	\$709.6	\$979.6	\$1103.3	\$1289.0	\$1643.2
Chief Operating Officer (Ambulatory Services) UCD Health ^{3,4}	\$376.0	\$452.9	\$477.4	\$514.1	\$632.8	\$432.8	\$529.5	\$568.3	\$626.5	\$860.1
Chief Operating Officer (Sr. Vice President, Clinical Practice and Ambulatory Care) UCSD Health ⁵	\$376.0	\$452.9	\$477.4	\$514.1	\$632.8	\$432.8	\$529.5	\$568.3	\$626.5	\$860.1
Chief Operating Officer (Physician Network) UCSD Health ⁵	\$279.1	\$411.2	\$448.4	\$504.2	\$596.3	\$359.0	\$467.3	\$550.5	\$675.3	\$775.9
Chief Operating Officer (Medical Center) UCI Health	\$518.0	\$626.9	\$691.0	\$787.0	\$992.9	\$579.4	\$718.6	\$801.1	\$924.9	\$1190.4
Chief Strategy Officer and President, Health Affiliates Network, UCSF Health	\$701.0	\$812.8	\$868.4	\$952.0	\$1154.5	\$808.2	\$1014.8	\$1092.8	\$1209.9	\$1471.1
Chief Strategy Officer, UCLA Health	\$642.6	\$745.0	\$796.1	\$872.6	\$1058.3	\$740.9	\$930.2	\$1001.8	\$1109.0	\$1348.5
Chief Strategy Officer, UCD Health ¹	\$499.8	\$616.9	\$652.7	\$706.5	\$799.5	\$599.7	\$727.8	\$795.5	\$897.0	\$1067.6
Chief Strategy Officer, UCSD Health ¹	\$499.8	\$616.9	\$652.7	\$706.5	\$799.5	\$599.7	\$727.8	\$795.5	\$897.0	\$1067.6
Chief Strategy Officer, UCI Health ¹	\$403.0	\$486.0	\$536.2	\$611.6	\$680.8	\$440.5	\$556.3	\$603.5	\$674.5	\$766.5
Sr. Vice President, Adult Services, UCSF Health	\$601.4	\$696.7	\$745.9	\$819.8	\$949.1	\$809.8	\$940.6	\$1003.0	\$1096.6	\$1265.7
Sr. Vice President, Children's Services, UCSF Health	\$724.0	\$840.4	\$892.4	\$970.5	\$1099.8	\$899.4	\$1060.2	\$1168.0	\$1329.5	\$1590.6