



UNIVERSITY OF CALIFORNIA

Briefing Binder

May 2010

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*Prepared by Issues Management, Policy Analysis and Coordination (IMPAC)
President's Executive Office, University of California
May 2010*

INTRODUCTION

“I chose to come to the University of California because it is the premier public university in the world, with ten vibrant and robust campuses, and it is an institution that has had and will continue to have a profound impact on the lives of the tens of millions who call California home. As we look ahead, I see great opportunities for this university – opportunities to continue building its academic quality; to better demonstrate its effectiveness and relevance to its constituents, the people of California; to continue providing access to deserving students of all backgrounds; and to further expand the frontiers of discovery in exciting new ways.”

--President Mark G. Yudof

Serving the People of California

Public universities like the University of California do more than conduct research and teach students. Committed also to public service, it is through its connections and involvement in shaping virtually every aspect of our daily lives that UC makes its biggest contributions to California’s diverse communities. Through economic growth and new jobs, through improved medicines and patient care, through support for our state’s rich cultural and natural resources, UC makes a difference every day.

As the land grant institution in a large state with a Master Plan for Higher Education, UC is uniquely situated to bring the breadth and depth of its knowledge and resources to bear on solving problems in a way that few institutions can. UC sparks the innovations that improve the health, security, and prosperity of the state – and the nation. In the last century, for example, farming here and around the world was revolutionized by the work of UC’s agricultural programs. In recent decades, UC helped transform a global, knowledge-based economy through its technological innovations. What UC faculty, students, staff, and alumni are doing today will play a large part in what California looks like in the next quarter century.

Seizing this moment, we must consider carefully what it means to be a public university in the 21st century. How must the organization, operation and objectives of the University change? Upon what new challenges should its talents and resources be focused? Most notably, what are the needs of the state, and how can the University contribute?

Meeting the Challenges of a 21st Century University

Nurturing the talent of California’s people, pushing the boundaries of global innovation and discovery, and creating solutions for the social, economic and health challenges of California are at the heart of the University’s work. Yet the University of California of 2010, despite its current strengths and contributions, must change with the shifting challenges and demands confronting 21st-century society.

When it first opened its doors in 1869, the University of California had ten faculty members and 38 students. Nearly a century-and-a-half later, UC’s ten campuses educate 227,253 students and graduate over 40,000 students every year. With its 16 health professional schools, UC is training 14,192 students who will become the next generation of doctors, nurses and other health

professionals. Through thousands of continuing education courses around the state, UC also offers around a quarter million Californians valuable opportunities to learn new skills and prepare for new careers. Today, more than 1.4 million UC alumni live and work around the globe.

The size of California—and the scale of the University—is also its advantage. California's economy is one of the largest in the world. However, sustaining our global competitiveness is becoming more challenging as the economies of other countries expand and as educational support effectively declines. For California's businesses and industries to remain competitive long-term, they must have an educated workforce. UC can continue to help meet California's dynamic and shifting workforce demands by helping to provide critical thinking skills, experience in working across disciplines, and lifelong learning.

UC is also working to ensure the health of all Californians by increasing the state's health sciences workforce and its commitment to medical research to meet the current and future needs of a growing and aging population. And UC will continue to search for new ways of providing food, clean and plentiful water supplies, renewable energy, and environmental safeguards to sustain our quality of life.

Many areas of California, particularly the inland and rural areas, are experiencing an acute shortage of health care providers. If we do not address this issue, individuals will suffer the consequences of poor health, and the cost of providing healthcare in California will be an increasing strain on the state's budget. UC has taken innovative strides to provide access to quality healthcare but we must do more.

UC is also assisting the state in addressing the issue of how to provide a high-quality elementary and secondary education for all California residents. UC must continue to do its part to make education in California an integrated endeavor from pre-school through college.

States across the country are grappling with the difficult task of financing higher education. Increasingly, states are contributing a smaller share of the funds that their public universities need. In California alone, since 1970, the portion of the state General Fund going to UC has fallen by half. Worse yet, in recent years, that decline has been accompanied by a substantial increase in student enrollment. UC has responded by finding more private and other sources of support – raising more than a billion dollars annually for the past six years – and also by implementing new cost-saving efficiencies at all its campuses. However, student fee increases have been required due to the withdrawal of state support.

To help meet the growing challenges that California faces, UC will need large new investments in its educational facilities, medical centers and state-of-the-art research facilities in the coming years to accommodate the growing number of students and modernize obsolete facilities. We must also be creative in attracting the best faculty and staff, as the competition for talented professors, research scientists and educators of all types is fierce. UC must maintain and enhance its research capacity, recognizing that these activities will become increasingly multi-disciplinary in the future. We must increase graduate enrollment in all programs to maintain research quality and to attract the best faculty and students.

We believe support for higher education is the best investment we can make to improve the quality of life for all Californians and to sustain our state's economic growth. There is a strong

case to be made for continued – and enhanced – support for UC’s ten campuses and its sister systems, the California State University and the California Community Colleges.

This briefing is intended to provide a broad overview of the University’s resources, initiatives, and key issues facing UC.

For more information about the University of California: www.universityofcalifornia.edu

1. REGENTS' MEETINGS

Governance of Regents Meetings

Meetings of the Board are governed by Bylaws, Standing Orders, Regental policies and Robert's Rules of Order, in descending priority order.

The Bylaws and the Standing Orders of The Regents are available on the web at:

<http://www.universityofcalifornia.edu/regents/bylaws/bylaws.html>

<http://www.universityofcalifornia.edu/regents/bylaws/standing.html>

Attached are copies of Bylaw 16, "Board and Committee Procedures" and Bylaw 7, "Exercise of Powers".

Schedule of Regents Meetings

The Board regularly meets six times a year in January, March, May, July, September and November. The three-day meetings generally begin Tuesday morning and end on Thursday afternoon.

The scheduled meetings for 2010 are:

2010

March 23 – 25:	UCSF Mission Bay
May 18 – 20:	UCSF Mission Bay
July 13 – 15:	UCSF Mission Bay
September 14 – 16:	UCSF Mission Bay
November 16 – 18:	UC Los Angeles

The schedule is attached and also available on the web at:

<http://www.universityofcalifornia.edu/regents/meetings.html>

All meetings of the Regents are broadcast on the Internet through the Regents' homepage.

Attendance at Regents Meetings

With few exceptions, all Regents, Regents-designate and Faculty Representatives are invited to attend all meetings of committees whether or not they are committee members.

The Statement of Expectations of the Members of the Board of Regents provides: "The Members of the Board are expected to attend and participate in meetings of Board and committees to which they are assigned. Board members are also welcome to attend meetings of other committees to which they are not assigned, but they are not required or expected to do so. Board

members are also encouraged to attend and participate in other events at which Board member participation is appropriate.”

A copy of the full policy is attached.

Regents Meeting Materials

The public Notice of Meeting is published on the Regents website 10 days in advance of the meeting. The agenda packets are shipped by overnight delivery one week prior to the meeting. An explanation of the numbering and lettering that will appear on the agenda materials and of the significance of the color of the documents is attached.

Speaking at Regents Meetings

A Regent’s opportunity to speak at the meetings is determined by the desire to speak. Regents are recognized in order of signaling their intention to speak. The Secretary and Chief of Staff maintains the speakers list, and all Regents who request to speak are afforded the opportunity to speak. Although there are no time limits on a Regent’s speaking time, the Chair will want to ensure that all Board members have the opportunity to engage in the deliberations before the Board.

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Bylaws

BYLAW 16. Board and Committee Procedures

16.1 Order of Business of the Board.

The following shall be the order of business at each regular meeting of the Board:

Roll Call
Approval of the minutes of the last meeting
Report of the President of the University
Reports of Standing Committees
Reports of Special Committees
Reports of Officers of The Regents
Unfinished business
Supplemental Report on Executive Compensation
New business

At special meetings the order of business shall be:

Roll call
Reading of notice and statement of service thereof
The special business for which the meeting was called

The regular order of business may be suspended at any meeting by a vote of a majority of the Regents present.

16.2 Attendance of Alumni Associations Representatives.

The Secretary and the Treasurer of the Alumni Associations of the University of California shall be invited to attend meetings of the Board.

16.3 Quorum of the Board.

Nine Regents shall constitute a quorum for transaction of business at regular meetings of the Board, and twelve Regents shall constitute a quorum for the transaction of business at special meetings of the Board.

16.4 Quorums of Committees.

Five members of any standing committee, special committee, or subcommittee shall constitute a quorum for the transaction of business.

16.5 Adjournment When No Quorum.

Any meeting may be adjourned and its business continued on an appointed day by the vote of a majority of the Regents present even though there shall be present less than a quorum.

16.6 Presiding at Committee Meetings.

In the absence of the Chairman of a Committee, the Vice Chairman shall preside and otherwise perform the Chairman's duties, and in the absence of both Chairman and Vice Chairman, the member of the Committee who has greatest seniority on the Board and who is present and able to act shall preside and otherwise perform the duties of the Chairman.

16.7 Rules of Procedure.

The rules contained in Robert's Rules of Order Newly Revised shall govern the proceedings at and the conduct of the meetings of the Corporation and its Committees, in all cases to which they are applicable and which are not covered in or by the Bylaws.

16.8 Procedures for Reports.

- a. Reports shall be submitted to the Board or its Committees in accordance with a schedule of reports adopted by the Board.
- b. Requests for other reports to be prepared for submission to the Board or its Committees shall be voted by the Board or the appropriate Committee.

16.9 Communications.

Communications for presentation to the Board or a Committee thereof shall be in writing and shall be presented by the Secretary and Chief of Staff at the next regular meeting following their receipt by the Secretary and Chief of Staff, provided that communications from the Academic Senate or members of the faculty or student body or employees of the University shall be presented only through the President of the University. This Bylaw does not apply to communications presented by members of the University of California Student Association Board of Directors or by members of the Academic Council of the Academic Senate pursuant to Bylaw 16.10.

16.10 Appearances Before the Board and Committees.

- a. Individuals or organizations shall have an opportunity to address the Board or a Committee directly on each open session agenda item before or during discussion or consideration of the item in accordance with such procedures as may be adopted by The Regents by resolution, provided that the Chairman of the Board or the Committee Chairman, as appropriate, may reasonably limit the total amount of time allocated for public testimony on particular issues and for each speaker and may limit testimony either to assure that it is germane to the item or if it does not involve a specific matter which has been delegated to an officer and which is more appropriately raised with that officer. Individuals seeking to address the Board or a Committee shall communicate their intention to the Secretary and Chief of Staff no later than the beginning of the morning or afternoon sessions of The Regents on the day the individual wishes to speak.

- b. No Officer, faculty member, or other employee, or student of the University or any group of Officers, faculty members, or other employees, or students of the University shall submit any matter to the Board or its Committees for official consideration except through the President of the University.
- c. The Chairman of the Committee on Educational Policy, the Committee on Finance, or the Committee on Grounds and Buildings, or the President of the University, may request that specific members of the University of California Student Association Board of Directors and/or members of the Academic Council of the Academic Senate be requested to speak on those items being considered by the Board in which students and/or faculty, in previous committee meetings, have indicated an interest and on those items being considered by the Board which have not been discussed in previous public committee meetings.
- d. The President of the University shall invite to attend and appear before meetings of the Board and of Committees thereof such Officers of the University and such other persons as may be needed in the best interest of the University.
- e. At all public meetings of the Committee on Educational Policy, the Committee on Finance, or the Committee on Grounds and Buildings, members of the University of California Student Association Board of Directors and members of the Academic Council of the Academic Senate may be granted permission by the respective Committee Chairman to speak on agenda items.

16.11 Reconsideration, Repeal, or Rescission.

No motion for repeal or rescission of any action taken by the Board shall be voted upon unless notice of intention to make such motion shall have been given at the previous meeting or by mail by the Secretary and Chief of Staff to each member of the Board and the subject matter of the motion has been placed on the agenda in accordance with Bylaw 14.5.

Any member may move for the reconsideration of an action taken by the Board. Such motion must be made and voted upon at the same meeting at which said action is taken.

16.12 Minutes of Board and Committee Proceedings.

- a. Minutes of the proceedings of the Board shall be kept by the Secretary and Chief of Staff and, as soon as practical after a meeting, a copy of said minutes shall be mailed to each member.
- b. Minutes of the proceedings of each committee shall be kept by the Secretary and Chief of Staff and, as soon as practical after a meeting, a copy of said minutes shall be mailed or delivered to each member of said Committee.
- c. The minutes of closed sessions shall be kept separate from those of the public meetings. .

Includes amendments through January 18, 2007

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BYLAW 7. Exercise of Powers

7.1 Determinative Vote.

Except as otherwise specifically provided herein, all matters coming before the Board or a Committee thereof for determination shall be determined by a majority vote.

7.2 Roll Call Vote.

Upon the demand of any member, a vote by the Board shall be by a call of the roll.

7.3 Suspension of the Bylaws or Standing Orders.

Any provision of the Bylaws or Standing Orders may be suspended in connection with the consideration of a matter before the Board by an affirmative vote of not less than two-thirds of the members of the Board.

Includes amendments through January 1, 1983

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Meeting Agendas and Schedule

Dates and locations of scheduled Regents meetings are listed below. Ten days before each scheduled meeting, the Notice of Meeting (agendas) will be available on this web site.

Live audio Internet broadcasts of the open sessions are available during the open session meetings. Please use this link to connect to the audio streaming during the meeting:

http://california.granicus.com/ViewPublisher.php?view_id=2

*These pages are best viewed with Internet Explorer 4 and above.
Make sure to use the most recent version of **Acrobat Reader™** when
viewing pdf files.*

	<u>Dates</u>	<u>Location</u>
Schedule of Meetings:		
2010	<u>January 19-21</u>	Regents Meeting - UCSF Mission Bay
	<u>January 21</u>	Special Committee on Student Life and Alumni Affairs
	January 25	Committee on Compliance and Audit (<u>Open Session</u> , followed by <u>Regents Only Session</u>)
	<u>February 23</u>	Committee on Investments/Investment Advisory Committee CANCELLED
	March 10	Committee on Compliance and Audit (<u>Regents Only Session</u> , followed by <u>Open Session</u>) <u>Special Meeting added - revised agenda</u>
	<u>March 23-25</u>	Regents Meeting - UCSF Mission Bay - session added
	<u>May 4</u>	Special Meeting of the Committee on Governance by teleconference (Regents Only Session)
	May 18-20	Regents Meeting - UCSF Mission Bay
	July 13-15	Regents Meeting - UCSF Mission Bay
	September 14-16	Regents Meeting - UCSF Mission Bay
	November 16-18	Regents Meeting - UCSF Mission Bay
2011	<i>January 18-20</i>	<i>Regents Meeting - UC San Diego</i>
	<i>March 15-17</i>	<i>Regents Meeting - UCSF Mission Bay</i>
	<i>May 17-19</i>	<i>Regents Meeting - UCSF Mission Bay</i>

July 12-14 Regents Meeting

September 13-15 Regents Meeting

November 15-17 Regents Meeting

Meeting Agendas for Previous Years: 2000 -2009

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REGENTS POLICIES

Regents Policy 1100: STATEMENT OF EXPECTATIONS OF THE MEMBERS OF THE BOARD OF REGENTS

Approved November 18, 2004

Amended November 16, 2006, March 20, 2008, and January 21, 2010

Guidelines for Discharge of Regental Duties

The responsibility of individual Regents is to serve as trustees for the people of the State of California and as stewards for the University of California, acting to govern the University in fulfillment of its educational, research, and public service missions in the best interests of the people of California.

Recognizing the broad authority and responsibility vested in the Board of Regents for the governance and operation of the University of California, there is a specific expectation that members of the Board become knowledgeable regarding the educational, research, and public service programs of the University of California as well as the duties, responsibilities, and obligations of Regents.

Preparation

Members of the Board are expected to prepare themselves for the issues coming before the Board and to base votes on the information available and their best judgment. An orientation is mandatory for all new Regents

Attendance and Participation

Members of the Board are expected to attend and participate in meetings of Board and committees to which they are assigned. Board members are also welcome to attend meetings of other committees to which they are not assigned, but they are not required or expected to do so. Board members are also encouraged to attend and participate in other events at which Board member participation is appropriate.

Cooperation

It is expected that Board members will abide by Board decisions and policies in a manner consistent with the member's fiduciary duties. This is not intended to preclude either forthright expression of opposition or efforts to change such policies or decisions. Expression of opinion or position at variance with such policies or decisions should clearly indicate that it is not to be construed as a position of the Board and that the opinion expressed is that of an individual Regent. Board members should respect the opinions of other Board members, University officials, faculty, students, and staff. Consistent with the Regents Policy on the President as Spokesperson for the University (effective January 18, 1962), the President shall be the spokesperson for the University with the Chairman of the Board being the spokesperson for the Board.

Confidentiality

Board members are expected to maintain the confidential nature of Board deliberations held in closed session, including written and

verbal communication.

Ethics

Regents are expected to serve the public trust and to fulfill their responsibilities ethically in a manner consistent with that obligation. This means that decisions are to be made solely to promote the best interests of the University as a public trust, rather than the interests of a particular constituency, and that Board members will disclose personal, familial, business relationships, or other potential conflicts of interest as appropriate.

Fiduciary Responsibilities

Regents are expected to accept responsibility for the integrity of the financial, physical, and intellectual resources of the University.

Policy Responsibilities

It is the responsibility of the Board to set policy and the responsibility of the University administration to implement and carry out policy, which includes responsibility for the day-to-day operations of the University.

Support for the University

Regents are expected to be active supporters and advocates for the University and to take opportunities to help with fundraising, legislative advocacy, and other efforts on behalf of the University.

Board Responsibilities

The Board is expected to:

- A. Appoint, support, assess the performance of, and, if necessary, dismiss the President.
- B. Appoint the Executive Vice Presidents, Senior Vice Presidents, other Vice Presidents, Chancellors and Laboratory Directors upon recommendation of the President pursuant to Standing Order 100.2 (b).
- C. Approve and periodically review the appropriateness and consequences of all major institutional policies and programs, including addition or discontinuation of major programs and services consistent with the institution's mission and financial capacity.
- D. Ensure that good planning is done periodically, participate in the process as appropriate, assess the quality of the outcomes, and monitor progress against goals.
- E. Fulfill fiduciary responsibilities by approving and monitoring the annual budget, protecting the institution's financial and capital assets, ensuring responsible and prudent investment of funds, and ensuring a comprehensive compliance program and annual audit process.
- F. Ensure adequate resources and their effective management. This includes serving as advocates for institutional needs with external constituencies.
- G. Interpret the institution to the public and defend the institution, when necessary, from inappropriate intrusion.
- H. Ensure that the Board's reputation is exemplary in the course of meeting its responsibilities.
- I. Ensure that the institution serves as a good citizen in its relationships with other social, educational, and business enterprises

through appropriate collaborations and partnerships.

J. Assess the Board's performance periodically through an appropriate process.

The following is a key to the Regents' meeting agenda packet.

Number Series for Committee Items

A	Committee on Compliance and Audit
C	Committee on Compensation
E	Committee on Educational Policy
F	Committee on Finance
G	Committee on Governance
GB	Committee on Grounds and Buildings
H	Committee on Health Services
I	Committee on Investments
L	Committee on Long Range Planning
O	Committee on Oversight of the DOE Laboratories
J	Joint Meetings
G	General Counsel's Items
R	Regents Items
S	Special Meetings
P	President's Report

Report on Actions Taken Between Meetings

Report of Personnel Actions Taken at Prior Meetings

Report of Communications

Bylaw and Standing Order amendments carry a double letter designation, referring to the Committee initiating the amendment.

Color Designations

White	Open Session
Green	Closed Session (Consent)
Goldenrod	Closed Session
Salmon	Closed Session Regents Only

2. BIOGRAPHIES OF UC LEADERSHIP

Biographies for the Regents are attached and available at:

<http://www.universityofcalifornia.edu/regents/regbios/welcome.html>.

Biographies for President Mark Yudof, Provost and Executive Vice President Lawrence Pitts, and Executive Vice President Nathan Brostrom are attached and available at:

<http://www.universityofcalifornia.edu/president/biography.html>

<http://www.universityofcalifornia.edu/news/article/19469>

<http://www.ucop.edu/busops/brostrombio.html>

Biographies for the campus Chancellors are attached and available at:

<http://www.universityofcalifornia.edu/news/chancellors.html>.

Biographies for the leadership of the systemwide faculty Academic Senate –Professor Henry Powell, Chair and Professor Daniel Simmons, Vice Chair – are attached and available at:

<http://www.universityofcalifornia.edu/senate/leadership/>

Biographies for the Principal Officers of the Regents – Secretary and Chief of Staff Diane Griffiths, Chief Compliance and Audit Officer Sheryl Vacca, General Counsel Charles Robinson, and Chief Investment Officer Marie Berggren – are attached and available at:

<http://www.universityofcalifornia.edu/regents/secretary.html>

<http://www.universityofcalifornia.edu/compaudit/sherylvacca.html>

<http://www.ucop.edu/ogc/gencouns.html>

<http://www.ucop.edu/treasurer/bio.html>

Organization charts are attached and available through President Yudof's homepage at:

<http://www.universityofcalifornia.edu/president/>.

3. UC IMPACTS

Please see the attached fact sheet for basic facts about the University of California and its impact on California's economy and communities. The fact sheet is also available at:

http://ucfuture.universityofcalifornia.edu/documents/uc_impacts.pdf

UC *IMPACTS*



THE UNIVERSITY OF CALIFORNIA CONTRIBUTES TO THE STATE'S ECONOMIC VITALITY AND THE QUALITY OF LIFE OF ALL CALIFORNIANS THROUGH ITS EDUCATIONAL OPPORTUNITIES, GROUNDBREAKING RESEARCH AND VALUABLE CULTURAL RESOURCES. WITH MORE THAN 228,000 STUDENTS, 180,000 FACULTY AND STAFF, 50,000 RETIREES AND NEARLY 1.6 MILLION LIVING ALUMNI, UC IS TRANSFORMING LIVES, INSPIRING INNOVATION, EMPOWERING CREATIVITY AND DRIVING PROSPERITY THROUGHOUT THE STATE, THE NATION AND THE WORLD.

THE UNIVERSITY'S CONTRIBUTION TO CALIFORNIA

CALIFORNIA'S ECONOMIC ENGINE

- » UC research has been critical to the development of many of California's leading industries – from biotechnology to information technology to telecommunications.
- » Nearly 400,000 jobs in California depend on UC operations. That includes non-university jobs that university expenditures create.
- » UC contributes more than \$14 billion in California economic activity and more than \$4 billion in state and local tax revenues each year.
- » Driving the next wave of California's economic growth, UC is taking a global role in developing new industries – from nanotechnology to digital media to green technology.
- » More than 1,000 California biotech, high-tech and other innovative R&D-intensive companies put UC research to work every day.
- » Since 1976, 461 startup companies have been formed with UC inventions.

INNOVATION AND RESEARCH

- » UC spends about \$4.9 billion annually on research, nearly half of which is funded by federal agencies. For every \$1 in research funding provided by the state of California, UC secures \$5 more in federal and private research dollars.
- » UC researchers produce, on average, four new inventions a day.
- » UC develops more patents than any other university in the nation and has held that top spot for the past 15 years. UC holds 3,617 active U.S. patents, many of which have led to the creation of today's leading industries.

WORK FORCE DEVELOPMENT

- » With more than 1 million UC graduates, California has one of the best-trained work forces in the world. UC graduates more than 55,000 students a year.
- » UC awards 7 percent of the nation's Ph.D.s, more than competitors like Stanford, Harvard, Yale and other Ivy League universities.
- » As a center for lifelong learning and continuing professional development, UC has the nation's largest continuing education program, with about 300,000 students each year enrolled in 17,000 extension courses around the state.

GROWING CALIFORNIA'S AGRICULTURAL ECONOMY

- » From its beginnings as a land-grant institution chartered in 1868, UC has been a valuable partner in California's agricultural industry. UC discoveries in crop management, pest control and food processing have helped farmers everywhere to literally feed the world.
- » UC helps California agriculture compete globally and farm more sustainably. California's \$36.6 billion agricultural sector produces more than 400 commodities.
- » When UC researchers discovered in the late 1800s how to remove salts from the soils of California's Central Valley, they took their research directly to the fields, turning what was once barren alkaline land into the most productive agricultural region in the world.
- » UC trains the state's vintners and certifies more than 95 percent of wine grapes, providing a reliable supply of high-quality crop for California's multibillion-dollar wine industry.

**UC OFFERS
EDUCATION IN
150 ACADEMIC
DISCIPLINES,
WITH MORE
DEPARTMENTS
RANKED IN
THE TOP 10
NATIONALLY
THAN AT ANY
OTHER PUBLIC
OR PRIVATE
UNIVERSITY.**

IMPROVING HEALTH

- » UC hospitals and clinics handle more than 3.8 million outpatient visits, 254,000 emergency room visits and 140,000 inpatient admissions each year, including a high proportion of the state's uninsured, low-income, medically vulnerable patients.
- » UC educates 14,000 health sciences students each year and trains three out of five of the medical students in California.
- » UC's health care delivery system is the fourth-largest in California, with 32,000 medical center employees who provide more than \$5 billion in patient care annually.
- » Statewide, UC provides treatment for half of all organ transplants, a quarter of all extensive burn cases and operates or staffs five Level 1 trauma centers.
- » UC's medical centers perform hundreds of clinical trials every year, resulting in new drugs and disease treatments.
- » PRIME medical education programs at five UC campuses train physician-leaders committed to improving health care in underserved communities, such as rural areas and in the Latino community.

ACCESS TO AN EXCELLENT EDUCATION

- » Nearly 90 percent of all UC students are California residents – including 94 percent of undergraduates.
- » UC offers education in 150 academic disciplines, with more departments ranked in the top 10 nationally than at any other public or private university.
- » Six UC campuses are members of the prestigious 62-member Association of American Universities, a representation no other state can match.
- » UC has the highest proportion of low-income students among the country's top research universities and provides more than \$1.6 billion in financial aid to about two-thirds of its students.
- » More than 14,000 community college students transferred to UC last year, and roughly a third of UC bachelor's

degrees awarded each year go to students who started at a community college.

- » UC's Education Abroad Program, partnering with 100 top host institutions in 34 countries, provides students with learning opportunities around the world, and UC academic centers in Sacramento and Washington give students an up-close look at the world of government.

IMPROVING K-12, MATH AND SCIENCE EDUCATION

- » UC operates academic preparation programs across the state that focus on improving the college readiness of educationally disadvantaged students; 50 percent of participants in these programs enroll at UC, CSU or a community college, compared with 25 percent of peers.
- » UC is spearheading Cal Teach, which will train 1,000 new math and science teachers annually for public schools statewide.

IMPORTANT COMMUNITY AND CULTURAL RESOURCES

- » UC has scores of museums, concert halls, art galleries, observatories and marine centers, sports facilities, performing arts centers, and gardens, providing cultural and entertainment resources for their communities.
- » UC campuses house more than 100 libraries, collectively representing the largest research/academic library in the world with more than 33 million volumes. UC's California Digital Library has one of the world's largest collections of digital materials, including 24,000 electronic journals.
- » UC operates the 4-H program, which serves more than 130,000 California youth, and sponsors many other community activities, youth and recreational sports programs.
- » UC manages more than 135,000 acres of protected natural habitat.



**WITH MORE
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UC GRADUATES,
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BEST-TRAINED
WORK FORCES
IN THE WORLD.
UC GRADUATES
MORE THAN
55,000 STUDENTS
A YEAR.**



UC HAS 10 CAMPUSES, FIVE MEDICAL CENTERS, 16 HEALTH PROFESSIONAL SCHOOLS, FOUR LAW SCHOOLS AND THE STATE'S ONLY PUBLIC VETERINARY SCHOOL, PLUS PROFESSIONAL AND ENRICHMENT COURSES AND AGRICULTURAL AND NATURAL RESOURCES PROGRAMS WHICH EXTEND LEARNING THROUGHOUT CALIFORNIA. AT THE THREE U.S. DEPARTMENT OF ENERGY LABORATORIES THE UNIVERSITY HELPS MANAGE, UC LEADS OUR NATION'S HIGHEST-PRIORITY RESEARCH IN FIELDS RANGING FROM NATIONAL SECURITY TO ENERGY EFFICIENCY.

THE UNIVERSITY'S CONTRIBUTION TO CALIFORNIA

4. STRUCTURE OF UC AND HIGHER EDUCATION IN CALIFORNIA

The California Master Plan for Higher Education

In 1960 when baby boomers were reaching college age and vast increases in college enrollment were projected, the California Master Plan for Higher Education was adopted by the State of California and it transformed a collection of uncoordinated, competing colleges and universities around the state into a coherent system. Each higher education segment – the University of California (10 campuses), the California State University (23 campuses), and the California Community Colleges (110 colleges) – is assigned its own distinctive mission and pool of students under the Master Plan:

- All California residents in the top one-eighth (12.5%) or top one-third (33%) of the statewide high school graduating class who apply on time are offered a place somewhere in the UC or CSU systems, respectively, though not necessarily at the campus or in the major of first choice.
- UC is designated as the state's primary academic research entity and provider of undergraduate, graduate, and professional education. UC also has exclusive jurisdiction among public colleges and universities for granting doctoral degrees and professional degrees in law, medicine, dentistry and veterinary medicine - except that CSU can award doctorates in educational leadership (Ed.D.) and joint doctorates in conjunction with UC or independent colleges.
- CSU's primary mission is undergraduate education and graduate education through the master's degree including professional and teacher education. Faculty research is authorized consistent with the primary function of instruction. Doctorates can be awarded in educational leadership (Ed.D.) and jointly with UC or an independent institution.
- Community colleges offer instruction through, but not beyond, the 14th grade level through 72 community college districts in California. They focus on standard collegiate courses for transfer to baccalaureate-granting institutions as well as training in vocational/technical fields, adult workforce education, community education, and basic skills courses.
- The Cal Grant program is also an integral part of the Master Plan, providing financial aid awards to meritorious and needy students to attend the institution of their choice, public or private.

Since 1960, even under severe budgetary constraints, UC and CSU have continued to admit and offer a place to every California high school student who is eligible, and the Community Colleges have offered places to all high school graduates and adults who wish to attend. Today, the Master Plan offers California as sound a guide as it did over four decades ago. The plan allows the state to efficiently allocate resources and provide a higher education system that combines exceptional quality with broad access and affordability for students.

Since 1960, the Master Plan has been reviewed by commissions and legislative committees, usually about once a decade. The third major legislative review was completed in 2004 and stressed the need to extend the Master Plan to pre-school and K-12 education and called for greater cooperation between K-12 and higher education. Like the two prior legislative reviews, the 2004 review reaffirmed the main tenets of the Master Plan—the differentiation of functions and admissions pools among the segments of higher education as the guarantee of access for all eligible students. The original Master Plan stated that UC and CSU should “draw from” the top 12.5% and top 33.3% of the graduating high school class, respectively, but that was soon changed to a guarantee of access to all high school students who meet those standards, though not necessarily at the campus or major of choice.

2010 marks the 50th anniversary of the Master Plan, and earlier this year the Legislature convened a Joint Committee on the Master Plan for Higher Education. The Assembly resolution establishing the committee stated its purpose as “reviewing the Master Plan for Higher Education and creating a framework to ensure that our higher education system continues to thrive and contribute to a healthy and prosperous future for California and its students.” The Committee is authorized to act until November 30, 2010.

For more information on the Master Plan and the Legislative Review:
<http://www.ucop.edu/acadinit/mastplan>

UC's Constitutional Status

As of 1879, the California Constitution explicitly granted UC constitutional autonomy, allowing UC to operate independently of the state in conducting most of its affairs. The Constitution states that “the university shall be entirely independent of all political and sectarian influence and kept free from in the appointment of its regents and administration of its affairs...” UC is constituted as a public trust and the Regents are given “full powers of organization and government” subject only to such legislative control as necessary to ensure the security of its funds, protect the terms of its endowments, and specify competitive bidding requirements. Nevertheless, the Legislature does regulate UC in several ways, including: state appropriations; general police power regulations governing private persons and corporations; and legislation regulating public agencies which may apply to UC when the legislation pertains to matters of statewide concern not involving internal University affairs.

Constitutional provisions in 1974 and 1976 shortening Regents' terms and requiring competitive bidding were added after voter approval of legislative constitutional amendments. Proposition 209, which affects the Regents' authority with regard to admissions, contracting, and employment policy, was added through an initiative-driven constitutional amendment in 1996. Despite its constitutional autonomy, UC strives to be transparent, accountable, and responsive to the state's elected officials.

Shared Governance

The Regents, the president and his administration, the chancellors and their administrations, and the faculty through the Academic Senate share in various governance responsibilities for the University:

- The Regents comprise the governing board of directors of the public corporation that is UC.
- The president and chancellors and their respective administrations are responsible for executing UC plans and programs and administering affairs, on a systemwide level and at the campuses and medical centers.
- The Academic Senate, composed of all regular rank faculty and major campus and administrative officers, is delegated authority in instructional matters and consults with the administration and the Regents on a broad spectrum of issues. Functioning as the voice of the faculty in University governance, the Academic Senate advises the president and chancellors on many issues of academic policy, budget, library administration, and faculty appointments/advancement. In addition, the Senate authorizes and supervises all courses, except those of certain graduate professional schools, and determines the conditions for eligibility, admission, certificates, and degrees.

For more information on UC governance:

<http://www.universityofcalifornia.edu/aboutuc/governance.html>

5. ACCOUNTABILITY & TRANSPARENCY

University of California Accountability and Transparency

Accountability and transparency are the cornerstones of public trust in our institutions, both of which require timely access to and disclosure of information. As part of its home page, the University of California Web site provides the public with access to information on a variety of subjects affecting the University's community including admissions, governance, and the University's efforts to increase accountability and transparency. Specifically, the *UC in Focus* section of the Web site provides direct links to three such areas: Updates on UC Compensation, the UC Accountability Report, and Reporting Transparency.

Updates on UC Compensation

In December 2005, Gerald Parsky, then serving as chair of the Board of Regents, appointed the Task Force on Compensation, Accountability and Transparency. The Task Force was charged to conduct an independent review of UC's policies and practices on compensation for faculty and senior managers and on the release of public information regarding compensation and related matters, and to recommend improvements. The independent panel was composed of academics, business leaders and former lawmakers, and was co-chaired by Regent Joanne Kozberg and former Speaker of the California State Assembly Robert Hertzberg. In 2006, the task force recommended 22 reforms covering four areas: disclosure and transparency, governance and accountability, policies and practices, and competitive compensation. The Board of Regents adopted the recommendations and agreed to reconvene an independent group in 2009 to review the University's progress.

In its October 2009 report the Task Force found that the University is successfully addressing the concerns related to disclosure, transparency, governance, and accountability. The report highlights several of the most significant of the accomplished action items including, but not limited to:

- Public disclosure of salaries and total compensation for all UC employees;
- In cases of compensation that require Regental approval, all elements of the pay package are publicly disclosed and available for public comment before the Regents vote;
- UC reports annually to the Regents on executive compensation, providing details on total compensation for every employee earning more than \$214,000 per year.

In addition to the above completed recommendations, the Office of the President maintains a Web site to provide the public with details on compensation information (<http://www.universityofcalifornia.edu/news/compensation/>). The Web site provides access to information including compensation reforms, salary actions and compensation reports.

University of California Accountability Report

The first University of California Annual Accountability Report (www.universityofcalifornia.edu/accountability) was issued in July 2009 and is part of the

comprehensive framework announced by President Yudof in July 2008 to ensure greater accountability across the UC system. The report measures campus and Universitywide performance in meeting core goals that reflect the University's teaching, research, and public service mission. The data will inform the University's strategic planning, budgeting and performance management, as well as help the governing Board of Regents identify the most important policy issues facing UC. The report will be published annually in May.

The measures or "indicators" that are used in this report cover a wide range of topics, from undergraduate access, affordability and success, through graduate students, faculty, staff and research, budget and financial information. The report assesses the University's performance achieving key goals that are distilled from several sources: the California Master Plan for Higher Education, the Board of Regents' policies and budget priorities, and the campuses' strategic and academic plans. It also includes brief profiles of each of UC's 10 campuses. Here, campuses document their specific long-range or strategic objectives and the progress they are making towards achieving them.

In addition to the annual May report, nine accountability sub-reports will be presented to the Board of Regents periodically to take up specific issues in greater detail. Sub-reports have been or will be issued on: Student Success, Diversity, Faculty Competitiveness, Research Enterprise, Private Support, Admissions and Enrollment, Graduate Academic and Professional Degree Students, Staff, and Health Science and Services. All of the sub-reports will be presented to the Board of Regents on a biennial basis, except for the Admissions and Enrollment and Diversity sub-reports which will be published annually.

Subsequent Annual Accountability Reports will also be made available on the University's Accountability Web site, making it a one-stop shop for anyone interested in the size, shape and progress of the University of California.

Reporting Transparency

In support of similar transparency efforts undertaken by the State of California, the University of California developed the Reporting Transparency Web site (<http://www.universityofcalifornia.edu/reportingtransparency/>) to provide the UC community and the public with easy access to a variety of financial information about the University of California. The Web site includes links to information such as external audit reports, budget documents, and reports on private support and endowment. The site will also provide access to additional material including information on internal audit reports and vendor contracts in the coming months.

6. UC COMMISSION ON THE FUTURE

University of California Commission on the Future

In July of 2009, UC Regents Chair Russell Gould launched the University of California Commission on the Future. The Commission is developing a vision for how the University can maintain its commitment to educational quality, access and affordability while recognizing that limited state funding will require creativity and new strategies to meet this mission.

Co-chaired by Chair Gould and President Yudof, the Commission is composed of members from within and outside of the University and is supported by five working groups. The working groups, organized around the broad topic areas of the size and shape of UC, its education and curriculum, access and affordability, funding strategies, and research strategies, are made up of a wide spectrum of members drawn from the Regents, faculty, students, alumni, administration, staff and other experts not affiliated with UC.

The working groups have been meeting since last fall and some of the broad issues they are considering are:

- What is the right size and shape of the university going forward? Where should it grow, or should it?
- What educational delivery models will both maintain quality and improve efficiency for UC's future?
- How can UC maximize traditional and alternative revenue streams in support of its mission?

Several public meetings have been held and working group members have visited every UC campus to solicit input. Public comments are also being taken on the Commission's website at <http://ucfuture.universityofcalifornia.edu>.

The first round of recommendations from the working groups was presented to the full Commission in March 2010. The working groups continue to develop and analyze additional recommendations that will be presented to the full Commission in June 2010. The Commission will receive and consider comments from faculty, staff, students and the public before concluding its deliberations and reporting its recommendations to the Regents in the months ahead.

7. BUDGET

Budgetary Process

The University presents to the State a single budget for the ten-campus system (“The Regents’ Budget”). For the most part, State funds for the operating budget are appropriated to the University in a lump sum, although amounts for a few programs of particular interest to the State are appropriated by line item. Capital budget funds are appropriated by project, except that funds for minor capital projects are appropriated as a lump sum. Operating funds received from the State are allocated by the President to the campuses and to the Office of the President after consultation with the Chancellors, Vice Presidents, and faculty groups. Because the processes for developing, negotiating, and allocating the operating and capital budgets are somewhat different, they are discussed separately below.

Budget Consultation: Administrators from the Office of the President meet regularly with faculty and student groups to keep them informed of budget developments and seek their advice on budget issues. Further, there is a budget discussion at the monthly meeting of the Council of Chancellors, and budget discussions at the bi-monthly meetings of the Council of Executive Vice Chancellors, at the quarterly meetings of campus Vice Chancellors for Planning and Budget, and with various other groups within the University.

The Regents’ Budget: The Regents’ Budget is the University’s annual budget statement. It provides a description of the existing budget, including income and expenditures from all fund sources, and serves as the budget request to the State for the coming year, describing in some detail the need for additional funds. The budget is presented to the Board of Regents each year for approval.

Governor’s Budget/Budget Act: The Governor’s Budget is released each year around the 10th of January. The Governor’s recommended budget is debated during legislative hearings each spring and in June the Legislature is required by California law to send its own recommended budget back to the Governor. At that point, the Governor may delete, but not add, funds. A two-thirds vote by the Legislature can override the Governor’s veto of funds. Following the Governor’s action, if any, on the Legislature’s recommended budget, it becomes final as the “State Budget Act.”

Negotiations with the State and Legislative Budget Hearings: Throughout the year, University staff engages in discussion of issues and priorities with staff in the Department of Finance, the Legislative Analyst’s Office, and with Legislative committee staff. In February, the Legislative Analyst publishes an analysis of, and recommendations for legislative action on, the Governor’s Budget. This analysis is the principal agenda for the legislative hearings, including hearings on the budget recommended for the University by the Governor. The Regents’ Budget is heard separately by the Assembly and the Senate. Differences between the two houses are resolved in a conference committee, usually in mid-June, after which the budget is returned to the Governor.

Allocations to Campuses: The President allocates funds to the campuses after consultation with

the Chancellors, Vice Presidents, Executive Vice Chancellors, Vice Chancellors for Planning and Budget, and faculty groups. Typically, two allocations are made each year: a preliminary and a final. The first allocates increases or decreases in State funds recommended in the Governor's Budget. This allocation is subject to revision depending on the final outcome in the State Budget Act. Final allocations are usually made in July, after the State Budget Act is signed, at which time fewer changes to the budget base are usually required.

Capital Budget: The capital budget consists of individual major projects (over \$750,000) proposed for funding along with a lump sum for minor capital projects (under \$750,000). The internal process for developing the capital budget is an interactive process, with campuses initially identifying priority projects through their own extensive internal procedures, and submitting schedules and brief descriptions of both State and non-State funded projects. After compilation and review of campus submittals by the Office of the President, discussions are held with campus representatives regarding project need, justification, priority and likelihood of funding. Revised schedules are sent to the campuses for approval or dissent. Campuses then make a second submittal in greater detail for each project. The capital portion of The Regents' Budget is prepared from these more detailed submittals. Major capital projects are approved by the State on a line-item basis; funds for minor capital projects are approved on a lump-sum basis. In addition to State funds, the University also uses gift funds, certain fees and reserves, and other funds available to the Regents for capital projects.

State Actions to Resolve the Fiscal Crisis in FY 2008-09 and FY 2009-10

The State Budget Act for Fiscal Year 2008-09 was signed by the Governor on September 23, 2008—the latest in State history. Thereafter, on-going weak economic conditions resulted in significant revenue shortfalls and the Governor declared a “fiscal emergency” and called special sessions of the Legislature to consider budget actions to address the problems. The Governor's proposed budget for Fiscal Year 2009-10, released December 31, 2008, estimated there would be a budget gap of more than \$40 billion for the 18-month period ending June 30, 2010. Following lengthy budget negotiations, on February 19, 2009, the State Legislature passed revisions to the State Budget Act for the remainder of Fiscal Year 2008-09, as well as the State Budget Act for Fiscal Year 2009-10 and related legislation, which the Governor signed on February 20, 2009 after making additional line-item vetoes, collectively, the “Special Session budget package.”

The Special Session budget package relied upon a combination of temporary and permanent measures, totaling \$41.6 billion for the remainder of FY 2008-09 and FY 2009-10. The main elements of the budget compromise included about \$14.9 billion in expenditure reductions, \$12.5 billion in revenue adjustments (primarily tax increases), \$7.9 billion in new funding for the State to be received as a result of enactment of the federal American Recovery and Reinvestment Act (“ARRA”), and \$5.4 billion in borrowing. The Governor vetoed an additional \$957 million of expenditures from the February 2009 budget bill approved by the Legislature, leaving an estimated budget reserve of \$2 billion at June 30, 2010.

Governor's May Revision to the Budget and Additional Legislative Proposals: Following adoption of the Special Session budget package, the State's fiscal situation continued to worsen. With the continuing deterioration of the State's fiscal situation and the failure of several ballot initiatives in the special May 19, 2009 election that had been intended to help alleviate the

budget shortages, the Governor proposed significant additional cuts throughout State government to address an estimated additional \$24 billion statewide shortfall (over and above the actions taken in February to address the fiscal crisis) as part of his May Revision to the budget. Following lengthy negotiations, a compromise budget package was reached by the Governor and the Legislature and was approved by the Legislature on July 24, 2009 and signed by the Governor on July 28, 2009, including the Governor's line-item vetoes of approximately \$489 million. This compromise budget package included approximately \$16 billion in program reductions statewide, and approximately \$8.2 billion in revenue accelerations and fees, significant borrowing provisions, and other technical adjustments such as fund shifts and payment of June, 2010 State payroll and health premiums in July, 2010. No new tax revenue was included in the compromise.

Impact of Special Session and July Budget Packages on University's Budget for FY 2008-09 and FY 2009-10; Student Fee Increases: For the University, reductions for FY 2008-09 included some one-time and some permanent cuts totaling \$832.0 million. The net reduction in State funding during FY 2008-09 was \$115.5 million, after accounting for one-time assistance of approximately \$716.5 million from federal economic stimulus funds. In FY 2009-10, the net reduction was \$637.1 million, when compared against the State-funded budget adopted in September 2008 for FY 2008-09 before the budget cuts began to be implemented. By way of illustration, the \$2.64 billion remaining in the University's base budget from State funds in FY 2009-10 was about 19% less than the \$3.25 billion in State funds appropriated to the University in FY 2007-08.

For the second consecutive fiscal year, the State Budget Act did not fully fund the Compact. In particular, the State Budget Act for FY 2009-10 provided no funding for enrollment growth. The University announced measures to curtail enrollment of freshmen by 2,300 students for the 2009-10 Academic Year, although this reduction was offset somewhat by an increase in transfers from California community colleges of 500 students. Even with this action, the University's enrollment remains more than 15,000 FTE over the budgeted level when the State last provided enrollment funding (2007-08). The Special Session budget package also assumed that the Regents would increase student fees by 9.3% in Fiscal Year 2009-10, which the Regents adopted at its May, 2009 board meeting.

In addition to the State funding cuts of \$637.1 million for 2009-10, the University estimates it faces cost increases of \$368 million, resulting in a budget shortfall of \$1.0 billion. Fee increases already approved for FY 2008-09 and, in May 2009, for FY 2009-10 addressed only about \$211 million of this amount. On July 15, 2009, the Regents approved a declaration of financial emergency and budget reduction actions, effective for one year (September 1, 2009 to August 31, 2010), as a result of reductions in the level of State funding for the University. To address cuts in State funds, the University implemented a furlough/salary reduction plan (\$184 million), campus and systemwide layoffs and programmatic reductions (\$343 million), and other systemwide savings including debt restructuring (\$75 million). In addition, at the November, 2009 meeting, the Regents approved an additional mid-year fee increase of 15% for undergraduate and graduate professional students, and 2.6% for graduate academic students, to be implemented beginning January, 2010, as well as an additional increase of 15% for all students, to be implemented in summer, 2010. The mid-year fee increase effective January, 2010 will result in another \$66.1 million (net of financial aid) available for helping to fill the budget

gap for FY 2009-10.

In addition, over the course of FY 2009-2010, the State will be deferring some payments to the University – \$250 million due in July was deferred until October, and another \$500 million was deferred until the end of the fiscal year. Other deferrals are also possible. The University is using its taxable commercial paper program for working capital purposes to mitigate some of the impact of the cash flow deferral.

The State Budget Act also eliminated \$20 million that had been proposed by the Governor in new funding for the State's share of employer retirement contributions. The University is evaluating its options and will pursue restoration of this funding from the State. In addition to the reductions of State funds, the University faces a further gap of \$335 million related to increasing costs that have not been funded by the State (increases in student enrollments, health benefit costs, faculty merits, utility costs, etc.).

Finally, the State's fiscal problems have resulted in substantial delays in State general obligation and lease revenue bond funding. As a result, appropriations for 68 University projects totaling \$983 million were initially halted or suspended due to the freeze of loan disbursements. Of these, the University received an exemption from the freeze and partial funding to continue 11 projects. In April 2009, the University received funding from two General Obligation bond sales totaling \$62.8 million and \$164.8 million respectively as well as lease revenue bond sales totaling \$206.8 million, of which \$142.6 million supported two projects that had been suspended. These funds allowed the 11 exempted projects to continue and 15 additional projects to restart. In October and November 2009, the University received funding from two additional General Obligation bond sales totaling \$30.7 million which allowed an additional 12 projects to restart. In addition, the University raised \$199.8 million in July 2009 through the sale of short-term commercial paper and purchased a privately placed State of California General Obligation bond that provided funding for 18 additional projects. Funding for the remaining projects totaling \$382 million, including 7 to be funded from lease revenue bonds, remains suspended.

Governor's Budget Proposal for FY 2010-2011: In November 2009, the Regents approved a University budget plan that included a request to the State for 2010-11 funding increase of \$913 million. In January 2010, the Governor released his proposal for the 2010-11 budget. Seeking to close a nearly \$20 billion State deficit, the Governor proposed \$8.9 billion in cuts, with health and social services and prisons taking the largest reductions. For UC, the Governor proposed an increase of \$371 million, including restoration of \$305 million in onetime reductions for 2009-10, \$51.3 million for enrollment growth of 5,121 FTE students, and \$14.1 million for annuitant health benefit cost increases. In addition, the Governor's proposal includes additional funds for Cal Grants to cover the recently approved fee increases for University students eligible for the grant program. Notably, both the enrollment growth funding and the Cal Grant funding are tied to the Governor's request to the federal government for \$6.9 billion. If the State does not receive that federal funding, which would come mostly from the U.S. Department of Health and Human Services, funding proposed for enrollment growth and Cal Grants could be in jeopardy.

In addition to his budget proposal, in early January the Governor announced a proposal to amend the State constitution to shift money from prisons to higher education. The proposed amendment would limit the State correctional budget to no more than 7% of State general fund revenue and

guarantee that the University of California and the California State University together would receive no less than 10% of State general fund revenue. This proposed funding shift would begin in the 2011-12 fiscal year and be fully realized in 2014-15. If the amendment funding formula were in place for fiscal year 2009-10, based on the California budget approved last summer, the University would have received up to \$1.7 billion more from the State; however, the University cannot predict whether such a Constitutional amendment will be placed on the ballot nor whether it would be approved by the State's voters.

As mentioned earlier, in November 2009, coincident with their approval of the University's funding request of the State, the Regents approved a 15% mid-year increase in student fees for 2009-10 and an additional 15% increase for 2010-11. When annualized, the mid-year fee increase (net of financial aid) will generate \$145.3 million. The approved 2010-11 fee increase will provide another \$184.7 million (net of financial aid) to help address the budget shortfall.

The next step in the State budget process requires the Legislature to review the Governor's proposal and approve it or offer revisions. In May, the Governor typically introduces a revised budget that could eliminate or augment the budget proposals made in January. The University is now asking legislators to support the Governor's funding plan and to look for opportunities to fully fund UC's budget request for an additional \$913 million; however, the University cannot predict the outcome of these discussions nor what the final State budget for the University for FY 2010-11 will be.

UC Current Budget in Larger Context

Adequate financial support for the University is essential if UC is to fulfill its missions of teaching, research and public service under the Master Plan. The current budget situation must be understood within the larger context of declining state support for the University in recent years. There are many indicators of this declining support.

- The University's share of the state budget has decreased from 7% to 3.1% over the last 40 years.
- In inflation-adjusted dollars, the state contributed \$16,430 to the cost of education for each UC general campus student in 1990, and now contributes only \$7,570 per student per year, a reduction of over 50.
- Between 2000-01 and 2009-10, UC enrollment grew over 35%. State funding for UC in 2009-10 was nearly 19% less than support in 2000-01 (in unadjusted dollars).
- The University's graduate and professional programs have not been keeping pace with California employers' workforce needs. UC graduate enrollment has not increased proportionately with undergraduate growth since the 1980s.
- Despite the need for more health care professionals to meet the needs of a growing and aging population, there has been very little increase in UC health sciences enrollments in nearly 30 years.
- As state support has lagged, students have shouldered a larger portion of the costs of a UC education. While in 1990-92 students contributed 13% toward their UC education, they currently pay 40% toward that education.

As with the roller coaster nature of the overall state fiscal condition, the University is faced with incredible challenges in its ability to plan for enrollment growth, address compensation issues, or plan to meet state priorities to address workforce needs.

Enrollment Growth and Student Access

Over the last decade, the University has seen unprecedented growth as it has absorbed a huge increase of eligible graduating high school students from “Tidal Wave Two.” Enrollment growth has outpaced funding provided by the state during 2006-07 and 2007-08. In 2008-09 and 2009-10, the State did not provide funding for enrollment growth called for in the Higher Education Compact. UC accepted all eligible students in 2008-09 but informed the state that if General Fund resources to support enrollment growth were not included in the budget going forward, UC would have to limit future student access based on funding from the state.

In January 2009, facing unfunded enrollments of more than 11,000 students, UC took steps to curtail enrollment growth as a first step toward bringing actual enrollments more in line with resources. Campuses were asked to reduce the size of the entering freshman class for 2009-10 by a total of 2,300 students. Despite these steps, overenrollment has swollen to more than 15,000 students and the President recently announced that for the second year in a row, UC will reduce the size of its entering class, by 1,500 students on top of last year’s 2,300. The University is averse to taking these unprecedented steps. However, the University must maintain quality, and UC cannot continue to enroll ever larger classes of students without resources. (The California State University has taken even more drastic steps, including planned enrollment reductions of 40,000 students over two years and accepting no new students at all in Spring 2010.)

Despite limiting enrollment, UC continues to work to expand opportunities for California Community College transfer students, with a planned increase of a total of 1,000 students over the past two years. Last year, UC formed a task force with CSU and the community colleges to make recommendations on improving community college transfer.

Despite enrollment reductions at the freshman level, UC committed to accepting all eligible applicants for Fall 2010. This commitment will be reevaluated for Fall 2011 if additional enrollment funding is not provided.

Student Fee Increases and Expanded Financial Aid

As noted earlier, actions at the State level in July 2009 to dramatically reduce the State subsidy provided for the University’s core operations have resulted in a funding gap of \$535 million during 2009-10, including \$368 million in unfunded mandatory costs. As the State’s fiscal situation remains severely constrained and could worsen, the University has taken permanent measures – including mid-year 2009-10 fee increases and additional fee increases in 2010-11 – to help stabilize the University’s fiscal situation.

In May 2009, the Regents approved increases in mandatory systemwide fees of 10% in the Educational Fee and 4.2% in the Registration Fee, effective summer 2009. In November 2009,

the Regents approved a mid-year increase of 15% in mandatory systemwide fees for undergraduate and graduate professional students and 2.6% for graduate academic students, effective for winter quarter/spring semester 2010. In November 2009 the Regents also approved an additional increase of 15% in mandatory systemwide fees for all students, effective summer 2010.

While student fee increases are extremely difficult decisions for the Regents to consider at any time, it is significant to note that the American Recovery and Reinvestment Act (ARRA) passed by Congress and signed by President Obama in February 2009 contains significant Pell Grant funding increases, as well as expansion of college tax credits. The initiation of the Blue and Gold Opportunity Plan, augmentations to the State Cal Grant program, the influx of new resources for the Pell Grant program, and the expansion of the federal higher education tax credit – combined with UC’s own return-to-aid funding, discussed below – provides enough additional funding to cover the mid-year fee increase for Cal Grant recipients and UC Grant recipients (generally those with parent income below \$70,000). UC projects that, on average, students with incomes below \$180,000 are experiencing financial resource increases, either through gift aid or expanded tax credits, to cover the full amount of fee increases in 2009-10.

UC has a long-standing policy of returning a portion of new fee revenue to students in the form of financial aid. In recent years, UC has designated 33% of any new revenue from undergraduate mandatory systemwide fees for this purpose. UC’s student aid program supplements Cal Grants and Pell Grants for needy students and helps offset fee increases for some middle-income students. In 2007-08, over 30% of UC students were low-income Pell Grant recipients—more than at any comparably selective research institution. While university financial aid, Cal Grants and other assistance programs cover the fees for the neediest students, middle- and upper-income students and their families will continue to bear the burden of the increasing fees.

UC Responses to Current Budget Challenges

UC is managing the \$450 million budget shortfall by making additional budget reductions at the campuses and in the Office of the President and redirecting funds to support essential services and mandatory cost increases. Significantly, restructuring of the Office of the President has resulted in savings of more than \$67 million and reduced staffing by 628 over the last two years. To reduce costs, travel has been restricted and in January the Regents took action to freeze the salaries of 285 top administrators across the system and implement significant restrictions to compensation for an expanded group of senior leadership. Campuses are being asked to identify administrative savings and efficiencies to address their current budget reductions. President Yudof has met personally with every chancellor and his or her senior leadership team to understand campus budget strategies in detail. Campuses are curtailing faculty recruitment, in many cases by 50% or more; reducing hiring of non-teaching staff; severely limiting spending on nonessential costs, consolidating or eliminating programs; and looking for efficiencies across their administrative organization, while working to minimize cuts to classroom instruction and funding for student service programs. Campuses are also taking temporary actions in the current year while planning and consultation occurs for more reductions.

8. PRIVATE SUPPORT

Private Gifts and Grants

Gifts and private grants are received from alumni, friends of the University, campus-related organizations, corporations, private foundations, and other non-profit entities with foundations providing nearly half of total private gifts and grant support to the University. UC's reporting of gifts and endowment is highly transparent with the University's Annual Report on University Private Support and the UC Annual Endowment Report available online at:

<http://www.ucop.edu/instadv/reports.html>

Campus Foundations

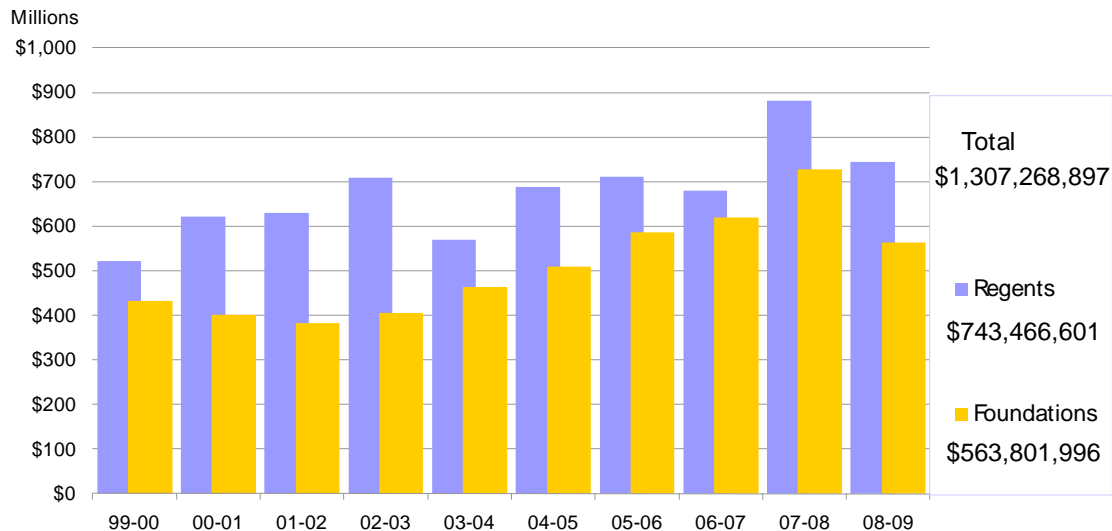
Each campus has a single Campus Foundation which is organized and operated for the purpose of fostering private giving, managing gift and endowment funds, and providing other support for the benefit of the campus. Campus Foundations are the only entities permitted by the Regents of the University of California to hold funds for investment purposes for the benefit of the campus it supports. Each of the University's ten Campus Foundations is organized and operated as a separately incorporated, tax-exempt entity under relevant provisions of State and federal tax law. Campus Foundations operate in accordance with applicable University policies, guidelines, and procedures. Gifts to UC can be made to either "The Regents" or to a Campus Foundation (unlike other public higher education institutions, such as the CSU system where all private support goes through the CSU Foundations).

UC Endowment Levels

Total UC endowment funds are comprised of endowments held by both the Campus Foundations and the Regents. As of June 30, 2009, UC had approximately \$7.8 billion in its endowment, which includes the Regents General Endowment Pool (GEP) and the ten individual Campus Foundation endowment pools. The total payout from all UC endowments for this past year, both the Regents and Foundations, was approximately \$360 million. This is comprised of almost 12,000 separate funds supporting a wide array of University activities.

UC Private Gift Support

UC's Annual Report on Private Support for 2008-09 shows UC received a total of \$1.3 billion in private support. This marked the ninth consecutive year that contributions from individual alumni, charitable foundations, corporate support and other friends of the University have topped the billion-dollar threshold. Of this total amount, UC received slightly over \$100 million dedicated to student support, including funds that can be expended currently, as well as funds that will create or augment endowments.

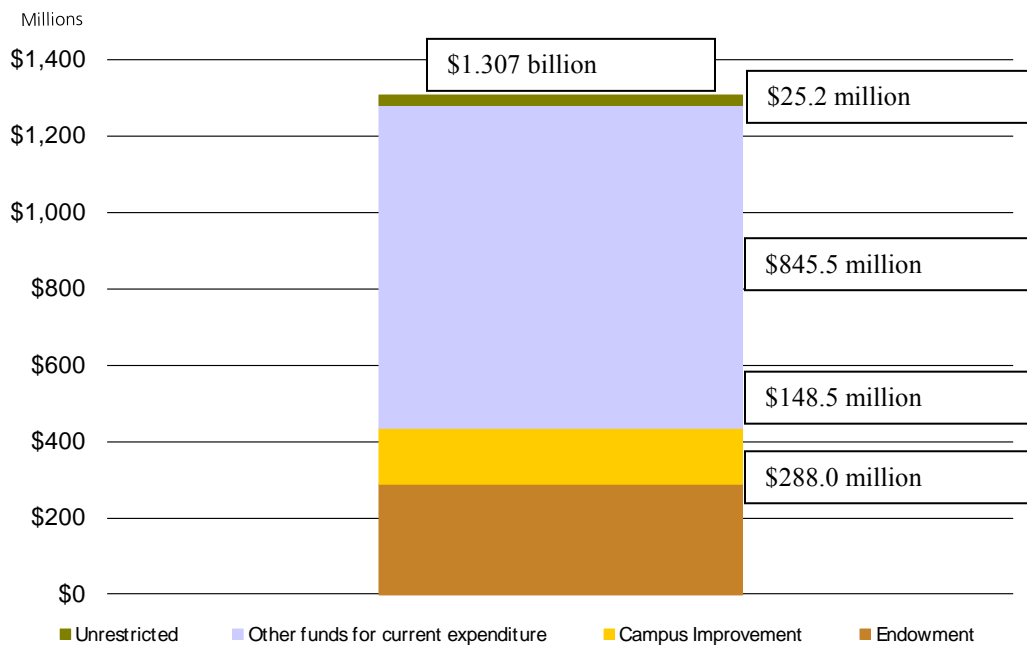


Endowment Expenditures

UC spends almost the entire endowment income generated each year. However, there may be certain funds for which the income may not be spent such as a newly created endowed chair where the endowment may not be fully funded and the endowed chairholder has not yet been appointed. Each year, the Regents adopt an endowment payout rate for the Regents General Endowment Pool (under UC Policies, the Campus Foundations have the ability to adopt their own expenditure rates).

Student financial aid expenditures were slightly over \$90 million from all UC endowments in this past fiscal year. This represented about 25% of all UC endowment payout, and approximately one-half of all endowment funds. In addition, a significant number of current gifts were directed towards student support. As a result, private gifts and endowment distributions for student support increased from approximately \$110 million in 2008 to \$130 million in 2009.

Private gifts, including endowments, are highly restricted by funding source and provide support for instruction, research, campus improvements, and student financial support, among other programs. Approximately 95% of UC's overall endowment is restricted, contrasted with 80% for most public institutions and 55% for private institutions. Only two percent of all gift support in recent years is unrestricted, even less for endowments. For example, the vast majority of our scholarship and fellowship funds are restricted to a great extent. Restrictions may include limiting scholarships and fellowships to a field of study (e.g., graduate fellowships in electrical engineering at UC Berkeley), to students from a particular area (e.g., graduates of Napa high schools studying viticulture at UC Davis), or a host of other restrictions.



Project You Can

Seeking to help keep the University of California accessible and affordable for California students, the University has undertaken an ambitious fundraising effort that aims to raise \$1 billion for student support over the next four years. Through the fundraising effort, Project You Can, all 10 UC campuses have committed to raise \$1 billion in the aggregate over the next four years -- doubling the amount of private support the system has raised for scholarships, fellowships and other gift aid in the previous five years. Project You Can and the Blue and Gold Opportunity Plan build on ongoing aid programs for UC students that enabled the university in 2008-09 to provide gift aid averaging \$11,100 per student to more than half of all UC undergraduates, and to enroll more low-income students (nearly one-third of all undergraduates) than any comparable public or private institution. <http://youcan.universityofcalifornia.edu/>

9. UC OFFICE OF THE PRESIDENT RESTRUCTURING/EFFICIENCIES

In April 2007, the University began an initiative to improve the administrative efficiency and effectiveness of UCOP, which has had a beneficial impact across the UC system. The assessment recommended rebuilding UCOP as an efficient and high performing organization that is both smaller and more focused in mission.

Beginning in 2008-09, the University implemented plans that reduced spending at UCOP. Over a two-year period through 2009-10, total reductions, including UCOP, the Academic Senate and the Regents' Offices, are estimated to reduce the budget by a total of 17.5% (\$62.2 million), including staff reductions of 30% (631 FTE) as shown in the display below. Additional reductions are resulting from the latest round of budget cuts by the State.

Restructuring of UCOP has included thorough department-by-department functional analyses, providing the basis for consolidation of many functions. These measures include:

- consolidation of fragmented functions within UCOP to reduce redundancy;
- establishment of new "service centers" for important systemwide functions; and
- elimination or reduction of low priority activities.

OFFICE OF THE PRESIDENT BUDGET AND CUMULATIVE REDUCTIONS (DOLLARS IN MILLIONS)		
<u>Fiscal Year</u>	<u>Budget</u>	<u>FTE</u>
2007-08	\$355.5	2,070
2008-09	\$300.3	1,570
2009-10	\$293.3	1,439
Cumulative Savings	\$62.2	631

UCOP remains critical to the success of the UC system. A well-operated central administration can reduce redundancy across the system and help strategically position the campuses to perform the University's core mission.

Campus Administrative Savings

The State fiscal crisis has added to the urgency of finding additional administrative savings. Faced with deep cuts in 2008-09 and 2009-10, campuses have taken steps to implement cost cutting measures.

In January 2008, the University convened the UC Work Group on Administrative Efficiencies, composed of leaders from campuses and UCOP, to explore opportunities for campus and systemwide initiatives that would improve quality and lower the cost of administrative processes, systems, and services.

The work group considered in excess of fifty proposals for improving administrative services and increasing efficiency and in July 2008 issued a report on recommendations the University could implement to realize savings. Proposals include:

- **improvements in financial processes** —streamline functions by adding further automation to the consolidated billing process and direct deposit, and implement collaborative proposals for similar services and developing a contracts and grants billing module.
- **improvements in administrative processes** —streamline processes, such as the approval process for capital projects, establishing Business Service Centers to consolidate processing and reducing travel costs by utilizing teleconferencing and videoconferencing.
- **an integrated human resources (HR) strategy** — take action to address succession planning as the “baby boomers” approach retirement and implement incentives to attract and retain the future workforce.
- **improvements in HR processes** — streamline HR functions by implementing an HR Information System (HRIS) for the University and revise processes related to collective bargaining and UC personnel policies.
- **information technology (IT) initiatives** —create regional data centers that serve multiple campuses, consolidating campus IT services and support, implementing a systemwide data warehouse, and fostering campus collaborations on shared IT systems.
- **opportunities for Legislative relief** — reduce administrative workload by seeking relief from certain legislation that has added workload without adding additional resources (which may require the active support of the Regents).
- **an investment fund strategy** — explore new opportunities for managing assets in ways that generate additional discretionary revenues without generating unacceptable risk and explore new opportunities for leveraging available resources to accelerate investments that result in administrative cost efficiencies.

It should be remembered that since the fiscal crises in the early 1990s and early 2000s, campuses had already moved to streamline processes that have produced significant savings and improvements in efficiency. These efforts have included consolidating campus Web sites into unified campus portals, transforming previously manual processes at central offices to self-service sites on the Web, and collaborations across campuses in implementing a new reporting system. The efforts of this work group aim to expand the achievements in administrative efficiency thus far.

10. HUMAN RESOURCES

Employees (Headcount as of October 2009)

Academic employees	57,000
Staff employees	126,700
<u>Lawrence Berkeley National Lab employees</u>	<u>3,500</u>
Total number of employees	187,200

Total Remuneration for UC Employees, Including Compensation and Benefits

UC offers its more than 187,000 employees an attractive employment rewards package. An independent study commissioned with Mercer Human Resource Consulting in 2009 found that, overall, cash compensation for many employee groups is below market, significantly so in many cases, but that UC's benefits are currently ahead of market. Market positions have eroded, and are expected to worsen, due to lack of salary increases, rising employee medical benefit premiums, employee contributions to the UC retirement plan, and a systemwide furlough program which reduced faculty and staff pay for the 2009-10 fiscal year.

In the fall of 2005, the Regents adopted the goal of increasing employee salaries to achieve market comparability over the ten year period 2006-07 through 2015-16, subject to the availability of appropriate funding. In adopting the goal, the Regents considered the competitiveness of UC's total remuneration, including cash compensation, health and welfare benefits, retirement income and retiree medical benefits. This may require the rebalancing of cash compensation and benefits to maintain a competitive package.

In November 2009, an independent task force charged with reviewing UC's compensation policies and practices and recommending reforms, reported to the Regents that the University is successfully addressing concerns related to disclosure, transparency, governance and accountability. UC has made significant strides in improving transparency in compensation, the task force found, yet concerns remain over whether, given the current fiscal climate, UC will achieve its recommendation that all employee salaries reach market level by 2015. In 2006, the task force recommended 22 reforms covering four areas: disclosure and transparency, governance and accountability, policies and practices, and competitive compensation. The reconvened task force, again co-chaired by Regent Joanne C. Kozberg and former California State Assembly Speaker Emeritus Robert M. Hertzberg, held a public review in August, 2009. In a report on its findings, the task force said UC had "met not merely the letter of the recommendations, but met the spirit of the recommendations consistent with the tone and tenor of the 2006 report."

Pending reforms, in addition to market compensation, also include investment in a new human resources information system that would enable compensation data to be quickly examined and analyzed. The task force noted that the current fiscal situation has prevented UC from moving ahead on this recommendation, but said that it remains a critical need. It warned that without

such a system, UC must rely on audits and self-reporting by campuses to detect inappropriately granted exceptions to compensation policies.

In 2005-06, following several years of little or no salary increases, the University began to once again provide annual merit salary increase programs. In addition, supplemental funding to address salary equity issues and market lags was made available for 2005-06, 2006-07, and 2007-08. In addition, in September 2007, the Regents approved the first year of a four-year plan of faculty salary increases designed to raise faculty salaries to market competitiveness.

Since 2008, the University has initiated a variety of cost-savings measures to respond to significant decreases in state funding, including a systemwide salary freeze for members of the senior management group that has been in place for the past two years; a voluntary Staff and Academic Reduction in Time program (START); and a one-year emergency Furlough/Salary Reduction plan for faculty and staff that took effect September 1, 2009. In addition to these systemwide actions, campuses are instituting a wide variety of cost-saving measures, including consolidating and eliminating programs, reducing hiring - despite continuing increases in enrollment, layoffs, voluntary separation programs, and significant curtailment of travel and other purchases.

The one-year Furlough/Salary Reduction plan was approved by the Regents in July 2009, to help bridge the financial gap resulting from the drop in state funding. The furlough plan uses a sliding scale to lessen the hardship for those earning the least, and the resulting salary reductions are spread across a full year. Participating faculty and staff are required to take from 11 to 26 furlough days resulting in salary reductions of 4 to 10%. (The salary reductions range from 4%, for those earning \$40,000 or less, up to 10%, for those earning more than \$240,000.) The Furlough/Salary Reduction plan is scheduled to end on August 31, 2010. The Furlough/Salary Reduction plan is subject to collective bargaining requirements for exclusively represented employees. Librarians, Police and a number of local skilled craft unions have agreed to participate in the furlough plan. In December 2009, the University reached an agreement with the Coalition of University Employees on temporary layoffs for fiscal year 2009-10. The agreement with CUE, the union representing 14,000 UC clerical employees, is similar to the furlough and salary reduction program. Under the agreement, CUE members accepted salary reductions of 4 to 6%, depending on their pay band, along with a corresponding number of temporary layoff days. For exclusively represented employee groups that did not agree to the furlough/salary reduction plan, the University is taking a variety of alternate approaches to effectuate comparable salary savings, including reductions in time, temporary layoffs, and indefinite layoffs.

The President has delegated to the campuses, medical centers, and Lawrence Berkeley National Laboratory the authority to implement a Voluntary Separation Program (VSP) beginning April 6, 2009 consistent with guidelines issued by the Office of the President. The VSP is intended to permit voluntary employee reductions as an option to achieve local budget savings. Eligible employees may voluntarily separate from the University and receive a severance payment calculated in accordance with their personnel classification (e.g., management-level employees would receive one month of severance pay for each year of service up to a maximum of 6 months' pay). Employees are not to return to UC employment for a period of three years from

their separation date, but if they do, they must repay a portion of their severance based on the timing of their reemployment (e.g., if reemployment is within 12 months after separation, the entire amount of the severance must be repaid, less \$1000 for signing a release of claims).

More information on UC compensation activities can be found at:

<http://www.universityofcalifornia.edu/news/compensation/>

The package of benefits that UC employees enjoy includes the following programs and plans:

- University of California Retirement Plan (UCRP, a defined benefit plan)
- Retirement Savings Program (403(b) Plan, 457(b) Plan, Defined Contribution Plan)
- Medical, Dental, and Vision plans
- Paid vacation (3 weeks per year, or more depending upon job/years of service)
- Paid sick leave (12 days per year with unlimited accrual)
- Paid holidays (13 per year)
- Life insurance and disability insurance
- Accident insurance available
- Legal services plan available
- Auto insurance and homeowner/renter insurance available
- Tax savings plans (healthcare and dependent care reimbursement accounts, and pretax payment of medical premium contributions)
- Ability to pursue career opportunities at numerous locations
- Institutional commitment to work/life balance

Approximately 110,000 of the 187,200 employees have a benefits package.

Health Care Premiums Based on Employee Salary

To help offset rising medical insurance costs that especially impact lower-paid employees, in 2004 UC began a tiered approach to employee medical premium contributions. UC established 4 tiers or salary bands, with the lowest premiums paid by those in the lowest band and the highest paid by those in the highest band. The current bands for 2009 are 1) \$46,000 or less, 2) \$46,001 to \$92,000, 3) \$92,001 to \$137,000, and 4) over \$137,000. These salary bands are adjusted annually.

Health Care Premium Costs

For 2011, UC is likely to face healthcare insurance cost increases from 9-11%. The Compact with the Governor in recent years has provided a modest 4% increase in direct cost funding for this purpose, which has been insufficient to cover benefit cost increases. With the Compact not being funded in 2008-09 and again not funded in 2009-10 and 2010-11, the University must redirect other fund sources to offset these costs. However, these redirected funds have been insufficient to cover the full increases. Given this ongoing shortfall, there is reasonable likelihood that at least some of these increases will be passed on to employees in 2010-11.

UC will be exploring ways to reduce plan cost through:

- increased efficiency in delivering health care through our health plan vendors
- increased member awareness regarding preventive, wellness and chronic disease management opportunities
- aggressive contract negotiations with the medical plan vendors with which the University conducts business.

Reinstatement of UCRP Contributions

Thanks to prudent management and good market performance of UCRP investments for many years, a surplus of assets accrued, and no employee or employer contributions to the plan have been necessary since the early 1990's. This surplus has, however, been steadily declining.

In September 2008 the Regents adopted a new funding policy for determining recommended total contributions based on the Plan's Normal Cost adjusted for any surplus or underfunding, starting with the Plan year beginning July 1, 2009. In February 2009, the Regents approved the reinstatement of both employer and employee contributions beginning on or about April 15, 2010, based on the limited amount of State funding for employer contributions that was included in the Governor's proposed budget. This funding was eliminated from the final budget; however, employer contributions resumed effective April 15, 2010, with the money for employer contributions being reallocated from other funding sources. Employee contributions begin with May earnings and will be reflected in paychecks between May 7 and June 1, 2010 depending on how often the employee is paid.

For more information about UC employee benefits and resources, see:
<http://atyourservice.ucop.edu/>

Labor Relations

UC first began working with organized labor following the passage of the Higher Education Employee Relations Act (HEERA) in 1979, and the University of California takes pride in its ongoing commitment to working effectively with its labor unions. Currently, UC negotiates with 15 different unions about the employment terms of approximately 78,000 of its employees. There are systemwide bargaining units for various types of employees, including clerical, service, patient care and technical employees, nurses, librarians, lecturers, police officers, firefighters, skilled craftsmen, readers & tutors, post-doctoral scholars, and research support professionals, among others. The University is proud of its many accomplishments in this area and in its ability to continually provide quality employment conditions and opportunities for those who make UC their employer of choice.

The 15 unions representing UC employees, along with the 25 corresponding bargaining units, are:

- Alameda County Building and Construction Trades Council (ACBTC) – Skilled crafts employees at UC Berkeley and Lawrence Berkeley National Laboratory
- American Federation of State, County and Municipal Employees (AFSCME) – Service Unit, Patient Care Technical Unit, skilled crafts employees at UC Santa Cruz

- American Federation of Teachers (AFT) – Non-Senate Instructional Unit, Librarian Unit
- Association of Graduate Student Employees-United Auto Workers (AGSE-UAW) – Graduate teaching assistant, reader and tutor units; Post Doctoral Scholar Unit
- California Nurses Association (CNA) – Registered Nurse Unit
- Coalition of University Employees (CUE) – Clerical Unit
- Federated University Police Officers Association (FUPOA) – Police Officer Unit
- San Diego Housestaff Association – Housestaff at UCSD’s Medical Center
- International Association of Firefighters (IAFF) – Firefighters at UC Davis and UC Santa Cruz
- International Union of Operating Engineers (IUOE) – Skilled crafts employees at UC’s Irvine, Riverside, and Santa Barbara campuses
- Printing Trades Alliance (PTA) – Printing trades employees
- San Francisco Building and Construction Trades Council (SFB&CTC) – Skilled crafts employees at UC San Francisco
- Santa Cruz Faculty Association (SCFA) – UC Santa Cruz faculty
- State Employees Trade Council (SETC) – Skilled crafts employees at UC’s Irvine, Los Angeles, Merced and San Diego campuses
- University Professional and Technical Employees-Communications Workers of America (UPTE-CWA) – Technical Unit, Research Support Professional Unit and Health Care Professional Unit

Responsibility for collective bargaining and related labor/management issues is delegated from the Regents to the President. The University continually strives to ensure professional, respectful relations with the unions representing its employees and to conduct negotiations in a fair and responsible manner.

Overview of Current Negotiations with Labor Unions

The University has reached agreement with several systemwide unions including AFSCME covering Patient Care Technical and Service employees, CNA covering Nurses, the AFT covering Lecturers and Librarians and UPTE, covering Research Support Professional and Technical employees. The University continues to bargain with the United Auto Workers (UAW) on an initial contract covering Post Doctoral Scholars, and with the Coalition of University Employees on a successor contract covering Clerical employees. The status of negotiations with the 13 systemwide collective bargaining units is as follows:

EMPLOYEE GROUP	UNION	# OF AFFECTED EMPLOYEES	STATUS
Clerical Employees	CUE	14,121	Parties have been bargaining over a contract that expired October 2008. Negotiations reached an impasse and parties are negotiating with assistance of state mediator.
Librarians	AFT	421	Multi-year agreement through September 2012.

Nurses	CNA	10,718	Multi-year agreement through September 2010. Imposed wages, retirement and health changes in 2010, following reopener negotiations. Successor negotiations to commence in the summer of 2010.
Police Officers	FUPOA	255	Multi year contract through September 30, 2011.
Lecturers	AFT	3,274	Multi-year agreement through July 31, 2010. Successor negotiations to commence in the summer of 2010.
Patient Care Technical Employees	AFSCME	11,458	Multi-year agreement through September 2012.
Research Support Professionals	UPTE	4,899	Multi-year agreement through June 2013.
Service Employees	AFSCME	8,390	Multi-year agreement through January 2013.
Technical Employees	UPTE	3,918	Multi-year agreement through 2013.
Residual Health Care Professionals	UPTE	2,711	Multi-year contract through June 2011, with economic reopener in June 2009. Negotiations continue as of May 2010.
Academic Student Employees	UAW	11,724	Multi-year agreement through September 30, 2010. Limited reopener February 2010 on Graduate Student Health Insurance Program (GSHIP). Successor bargaining to commence spring 2010.
Firefighters	IAFF	48	Multi-year contract through June 2010. 2008 & 2009 wage reopeners stalled; Successor contract negotiations have commenced.
Post Doctoral Scholars	UAW	6,086	UAW recognized as exclusive bargaining representative for Post Doctoral Scholars in November 2008. Currently bargaining for an initial contract.

11. STATE ISSUES: ENROLLMENT

Enrollment Planning

During the early 1990s, student enrollment dipped slightly from a high of 143,800 to 139,400. However, enrollments quickly rebounded and for the past several years the University has experienced the most dramatic enrollment growth in its history – a trend that is likely to continue for several years as a result of very large classes progressing through their undergraduate years.

In 1999, UC projected growth of 5,000 to 6,000 students per year by 2010-11, an increase of 64,000 students over 1998-99 levels – equivalent to the current total enrollment at the Los Angeles and Berkeley campuses combined. One significant new strategy for accommodating this substantial growth has been to acquire State funding for summer instruction. As of the 2006-07 budget, all campuses now receive full State funding for their summer enrollments, enabling them to provide a fuller array of courses as well as financial aid, helping students make better progress toward their degrees and reducing the need for capital expenditures for classrooms. Another major strategy for accommodating growth was the opening of the Merced campus which occurred, after many delays, in fall 2005.

Between 2000-01 and 2003-04 the University experienced far more rapid enrollment growth than projected in the 1999 plan, averaging closer to 8,000 FTE per year rather than the 5,000 FTE enrollment growth projected earlier. However, following a budgeted enrollment decrease in 2004-05, the Compact negotiated in 2004 with Governor Schwarzenegger called for UC to return to its earlier estimates of 2.5% enrollment growth per year, which has allowed the University to return to enrollment levels near those envisioned in the 1999 plan. This growth was included in the 2005-06, 2006-07, and 2007-08 budgets. However, due to substantial demand for enrollment from growing numbers of high school graduates and community college transfers, the University was significantly over-enrolled in 2006-07 and 2007-08.

In developing the 2008-09 and 2009-10 Governor's Budgets, the Department of Finance first "funded" a normal workload budget consistent with the Compact with the Governor, including funding for 5,000 FTE enrollment growth each year, and then proposed reductions to those workload budgets to address the State's fiscal situation. In both years, the University was left with State funding significantly reduced from the 2007-08 level. Without new State funding to support enrollment growth, but in keeping with its commitment to the California Master Plan and undergraduate applicants who had worked hard to become eligible for admission, in 2008-09, the University made a decision to ask that campuses, to the best of their ability, implement the enrollment increases that had been included in the Governor's Budget before the cuts were taken. This enrollment growth, including growth planned in MD students in the PRIME programs, was funded through an internal redirection of existing resources. As a result of this action, and because recent incoming classes have been larger than those graduating, the University's enrollment continued to grow during 2008-09.

In 2009-10, the University took action to slow enrollment growth by reducing the number of new California resident freshmen enrolled by 2,300. To accomplish this, fewer students were

admitted to the campus or campuses of their choice and more applications were sent to the referral pool for accommodation at Riverside and Merced. This meant students had fewer campus choices for accommodation at UC and, in some cases, chose to pursue their education elsewhere. This freshman reduction was partially offset by a planned increase of 500 California Community College transfer students. The University took this action in order to preserve the transfer option in difficult economic times.

Accommodating enrollment without sufficient resources (except the student fee income associated with enrollments) has meant that new and existing students alike are impacted by the lack of resources to support a high quality academic experience. Campuses are employing a variety of measures to deal with the budget shortfall – halting the hiring of permanent faculty, reducing numbers of temporary instructors, narrowing course offerings, increasing class sizes, curtailing library hours, and reducing support services for students, all of which are negatively impacting what has historically been an educational program characterized by excellence and opportunity.

During a budget crisis, such steps are necessary. But these actions are not sustainable over a long period of time, if the quality of the University is to be preserved. While acknowledging that access is important, the University cannot indefinitely accommodate larger numbers of students without adequate resources needed to provide them a UC-caliber education.

Therefore, the University must take steps to bring enrollments more in line with the resources provided by the State in order to preserve quality. For 2010-11, freshman enrollments will be reduced by an additional 1,500 students, for a total decrease in the incoming class of 3,800 from the number enrolled in 2008-09. For CCC transfer students and graduate students, 2009-10 enrollment levels will be slightly increased, in order to meet the University's commitment to transfer access. It may be necessary to further curtail enrollments in future years as well. Even with moderate increases in CCC transfers, this reduction, if sustained over several years, will help decrease total enrollments and bring enrollments to a level consistent with available resources.

At the same time, the plan maintains UC's historic commitment to offer a place somewhere in the system for every UC-eligible California resident applicant. It is expected that modest growth in freshman applications this year, estimated at approximately 3%, combined with lower admission targets will result in students receiving fewer admission offers to UC campuses. For example, a student who in the past was admitted to three campuses might be admitted to only one or two this year. Because UC applicants are very well qualified and have many opportunities, some who do not receive offers from their campus of first choice might choose to attend other institutions. UC-eligible California residents who are not admitted to any of the campuses to which they apply will receive offers from campuses that do have capacity.

Long-Range Enrollment Planning

In March 2008, UC completed the first phase of long-range enrollment planning for the period from 2010-11 through 2020-21. During this period, California's recent dramatic growth in high

school graduates is expected to slow. UC plans to take advantage of the anticipated reduced demand for undergraduate admission to re-balance the proportion of undergraduate and graduate students in order to better meet State workforce needs. While UC has expanded undergraduate access, graduate and professional enrollments have not kept pace. Although UC plans to slow the pace of undergraduate growth, it will not stop growing at the undergraduate level: continued growth among undergraduates is necessary to meet the state workforce needs and to broaden access to UC for all of California's communities.

For more information, see: http://www.ucop.edu/acadaff/swap/pdf/LREP080401_2.pdf.

While individual campus plans and programs are still evolving — and must remain flexible to respond to new and emerging opportunities and challenges that will face California — the University's overall direction is clear:

- UC will continue to grow, though more slowly than in recent years. The University proposes total enrollment in 2020-21 of 265,000 FTE, an increase of 48,000 over 2007-08. Annual growth over the period from 2010-11 through 2020-21 will be roughly 1.1%, considerably lower than the 2.5% annual growth budgeted through the current planning period under the Governor's Compact that ends in 2010-11.
- Undergraduate growth will expand opportunity to populations historically underserved by higher education. UC will take advantage of slower growth among high school graduates to offer opportunity to a broader group of California students, including low-income students, those who are the first in their families to complete a four-year degree, students from underserved communities, and transfer students. Proposed undergraduate growth of 26,000 students through 2021 will increase the proportion of California public high school graduates enrolling at UC to an all-time high of 9.2%.
- Accelerated growth in graduate enrollments will fuel California's economy and provide social and economic mobility. To help the state remain competitive in a knowledge-based global economy, UC proposes to increase graduate enrollments by roughly 22,000 students by 2020-21. More than a third of proposed growth is expected to occur in life and physical sciences, engineering, and math, and more than a quarter in professional programs to train doctors, public health professionals, nurses, veterinarians, and other critical health science professionals.
- Enrollment growth will enhance diversity. Growth is key to the University's ability to serve students from all of California's communities and UC will expand in regions and in fields where underserved populations can most benefit. Undergraduate growth will be greatest in the Central Valley and Inland Empire — regions that lag the rest of the state in terms of college opportunity and that support diverse and growing populations. At the graduate level, campuses are increasing enrollments and proposing new programs in areas that both attract and serve diverse populations, such as the PRIME programs that train doctors to serve underserved communities.

- Campus enrollment projections take into account the needs and concerns of neighboring communities. Many campuses are proposing new programs that respond specifically to regional needs (for example, in land use and environmental issues, immigration, and health policy). Campuses that are approaching enrollment levels on which a long-range development plan is based will use a variety of strategies, including summer and off-campus enrollments, to minimize impacts on their local communities.

Summer Instruction and Options to Accommodate Growth

Facing extraordinary growth in high school graduating classes over this decade and the need to accommodate significant enrollment increases, the University, with funding from the State, began expanding summer instruction programs in 2001. In the eight years from 2000 to 2008, the University more than doubled its summer enrollments – enrollment grew by 8,900 FTE students over this period. In 2008, nearly 75,000 students participated in summer instruction.

The key to achieving significant enrollment growth in the summer has been to offer summer instruction that is critical to student progress, along with essential student support services, access to libraries, and student financial aid. State funding for summer instruction has allowed campuses to provide UC financial aid equivalent to the UC grant support available during the regular academic year, fund adequate student services, and hire more regular-rank faculty to teach summer courses. In addition, with State funding, campuses can afford to offer a greater breadth of courses during the summer to maximize efficiency and student progress to degree; campuses have nearly doubled the number of primary classes offered in the summer since 2000, totaling over 5,300 in 2008. Expansion of summer enrollments has resulted in more efficient use of facilities and accelerated time to degree for undergraduates, thereby making room for more students during the regular year. Students report using summer as a means to graduate on time or even early, and enjoy the smaller class sizes and faculty contact summer courses provide.

Summer enrollment at UC may be reaching its point of maximum efficiency. Further growth in the summer may be difficult to achieve for several reasons. In recent years, over 70% of undergraduate students have enrolled in at least one summer session, and 40% enroll more than once even though students can also use summer for other opportunities, such as work, travel, or internships. Students are not replacing a regular academic year term with summer, but rather are going year-round for two or more years. Students take 9.5 units per summer on average. Also, many courses are designed in two-semester or three-quarter sequences; the cost and difficulty to re-engineer courses to allow for year-round availability is prohibitive.

Enrollment Curtailment for Fall 2009 and Fall 2010

Acting on the recommendation of University of California President Mark G. Yudof, the UC Board of Regents approved a plan in January 2009 to curtail undergraduate enrollment growth. The plan was part of UC's efforts to cope with insufficient state funding for enrollment growth and continuing budget cuts. President Yudof recently announced another, but smaller reduction for the coming year, of 1,500 new California resident freshmen. Together, these two actions will reduce the size of the California resident freshman class from around 35,250 in 2008-09 to roughly 31,450 for 2010-11.

In view of large increases in applications from California community college students, however, transfer enrollments have been allowed to increase by 1,000 over this two-year period (bringing new California resident community college transfer enrollments to around 13,900 for 2010-11). Graduate enrollment remains close to 2008-09 levels.

"It is an excruciating decision to reduce opportunity for students in any way, but the lack of sufficient state funding leaves us no choice," Yudof said. "This actually is a modest reduction in that it aims to bring our enrollments into line with our resources over several years rather than in a single year. It also enhances access through the community college transfer route, which is a path to the University that needs to be widened. In future years, of course, we hope the State will be able to focus on investing in California's human capital and provide the resources necessary for expanded opportunity in public higher education."

Details of Enrollment Plan

UC has seen large increases in freshman applicants in recent years, at the same time that State funding for enrollment growth has stagnated. Currently, UC enrolls more than 15,000 students for whom it receives no State funding -- a shortfall estimated at \$155 million. The 2010-11 Governor's Budget provides funding for additional enrollments but this funding is contingent on federal support that is not expected to materialize.

To protect academic excellence and maintain the level of service students expect when they enroll at UC, the plan calls on UC's president to bring enrollments closer to the University's budgeted levels by reducing new freshman enrollment at six UC campuses -- Davis, Irvine, Riverside, San Diego, Santa Barbara and Santa Cruz. Freshman enrollments will remain constant at the Berkeley and UCLA campuses and could grow at the Merced campus.

12. STATE ISSUES: FINANCIAL AID

Undergraduate Student Financial Aid

At the undergraduate level, the University's financial aid program is designed to ensure access for needy students so that cost of attendance is not a barrier for students seeking a UC education. During the 2007-08 academic year, 62% of all UC undergraduates received \$1.5 billion in financial aid, including over \$900 million in grants and scholarship. The primary sources of grants and scholarships in 2007-08 were the University's own need-based grant program (\$286 million), the Cal Grant program (\$293 million), and the federal Pell Grant program (\$165 million).

The University's approach to undergraduate financial aid reflects a partnership between the University, parents, and students: a student's total cost of attendance – including fees, housing, books, transportation, and other expenses – is covered through a combination of parental resources, grant assistance from University, state and federal sources, and an expected contribution from the student through a manageable level of work and borrowing.

Several indicators suggest that the University has remained financially accessible to undergraduates at every income level despite recent increases in fees and other expenses. For example, the University has the highest percentage of low-income undergraduate students among major research universities in the nation, the income distribution of UC students has remained stable, and student borrowing and work-hours during the academic year have generally remained flat. The University's success in this area is largely due to increases in financial aid that have accompanied fee increases: most Cal Grant awards increase to cover fee increases, and the University sets aside a percentage of new fee revenue (currently 33%) to help students cover increases in both fees and other costs. In addition, beginning in 2009 as a result of passage of the American Recovery and Reinvestment Act (ARRA), increased funding for federal Pell Grants and expanded federal higher education tax credits provided substantial new aid to low- and middle-income UC families.

Graduate Student Financial Aid

For graduate students, the University seeks to provide competitive levels of support in order to attract a diverse and highly talented student body. UC graduate students received \$1.3 billion in support in 2007-08, including \$404 million in fellowship support and \$534 million in assistantships.

UC competes internationally for the top graduate academic students. Surveys have consistently found that the University's awards to graduate academic students are not fully competitive with offers they receive from other top-tier institutions. Consequently, improving graduate student support has been a high priority for the University in recent years. The University now sets aside 50% of all new graduate academic fee revenue for student support. The University has also forgone increases in nonresident tuition for graduate academic students since 2004-05. In 2007-

08, the University also provided campuses with an additional \$10 million in matching funds to stimulate greater campus investment in graduate student support.

Recent increases in professional degree fees have heightened the importance of financial aid to students in these programs. These programs must now include an evaluation of their affordability and a description of their financial aid strategy along with their multi-year fee plans and must ensure that an adequate share of new fee revenue is set aside for financial aid.

Blue and Gold Opportunity Plan

In 2009, the University launched the Blue and Gold Opportunity Plan to complement its existing financial aid programs and to provide a simple message to prospective low-income students about the availability of financial aid to cover their fees. Under the Plan, the University ensures that systemwide fees are covered from grant or scholarship assistance for eligible students with a family income up to \$60,000. Beginning in 2010-11, the income limit will be increased to \$70,000.

13. STATE ISSUES: ELIGIBILITY, ADMISSIONS, AND ACADEMIC PREPARATION

Undergraduate Admissions Policy

Consistent with the Master Plan for Higher Education, all UC-eligible California residents who apply on time are offered a place in the UC system, though not necessarily at the campus or major of first choice. UC's undergraduate enrollment planning is based on a commitment to student access to the University under the Master Plan, which provides that the top 12.5% of California public high school graduates, as well as those transfer students from the California Community College campuses who have successfully completed specified college-level work, are eligible for admission to the University.

Completion of a rigorous college preparatory curriculum is essential for college success. UC faculty have established the “a-g” subject area requirements to articulate to California high school educators and students the sequence of courses students must complete to be successful at the University. These 15 courses represent the minimum academic standards high school students must attain to be eligible for admission to the University. Beginning in 2003, the California State University system aligned with UC, requiring the same sequence of courses for eligibility for admission.

The University maintains UC-approved course lists for every comprehensive public high school in California as well as for many private schools. Staff in the Office of the President work with high schools year-round to clarify the UC course approval process, to provide guidance to schools on how to present their course offerings most effectively, and to ensure that the subject requirements encompass the best of high school reform efforts in California. Nearly all public high schools in the state offer the full complement of ‘a-g’ courses.

UC has been working diligently to expand the number of Career Technical Education (CTE) courses approved for “a-g” credit. With continued support from the California Department of Education, UC has approved one-third of all CTE courses statewide, and expects to attain our goal of 10,000 UC-approved CTE courses by 2011.

In addition to the required sequence of courses, UC’s eligibility requirements specify the grade point average (GPA) and test scores freshmen need for admission. High school students have several paths for entering UC, as described below:

Statewide Eligibility: High school seniors are eligible for UC if they complete 15 units of work in UC-specified academic courses – commonly referred to as the “a-g” requirements – and meet or exceed a minimum score on UC’s eligibility index, which includes their high school grade point average and examination scores including the SAT I or ACT and two SAT subject examinations. Alternatively, students may become eligible based on test scores alone.

Eligibility in the Local Context (4% plan): The Eligibility in the Local Context (ELC) program was implemented in 2001 to increase the University of California's presence in each California

high school and extend UC eligibility to students with high academic accomplishments at schools that historically have sent few graduates to the University. Under ELC, the top four percent of students in each participating California high school's graduating senior class are granted UC eligibility, based on their successful completion of specific college preparatory coursework.

ELC has evolved quickly into a successful and popular program in large part because it functions to motivate students to achieve and apply and because it provides the University and its campuses with a way to contact these students early in their senior year and stay connected with them throughout the application process. Most California high schools participate in ELC – 98% of public schools and more than 84% of private schools – and the number of ELC applications has increased by 49% since the program's inception.

New eligibility policy to be effective for the entering class of Fall 2012:

UC continues to examine and refine its eligibility and admissions processes to ensure there are no barriers to qualified students. In 2008, UC's Academic Senate recommended changes to the University's eligibility criteria that were adopted by The Regents in February 2009 and will become effective for students applying to the University in November 2011 for the entering class of Fall 2012.

Under the new policy, all California high school seniors who:

- complete the 15 UC-required college-preparatory ("a-g") courses, with 11 of those done by the end of 11th grade,
- maintain a GPA of 3.0 or better (weighted by honors/AP bonus points) in these courses, and
- take the ACT with Writing or SAT Reasoning Test;

will be invited to apply and will be entitled to a comprehensive review of their applications at each UC campus to which they apply.

Within this "Entitled to Review" pool, two categories of applicants will be guaranteed admission somewhere within the UC system:

- those who fall in the top 9% of all high school graduates statewide, and
- those who rank in the top 9% of their own high school graduating class (essentially an expansion of the current ELC program).

Together, these students are expected to make up about 10% of the state's high school graduates. If these students are not admitted to one of the campuses they applied to, they will be referred to a campus with remaining space (currently UC Riverside or UC Merced) and offered admission there, as eligible students are now. The remaining admissions needed to make up the full 12.5% pool of top students will be drawn from the broader "entitled to review" pool.

All qualified students, whether receiving the referral guarantee or not, will have their applications reviewed comprehensively by all UC campuses to which they apply and will compete for those seats. Their qualifications will be assessed using the same campus-based review processes currently in place – ones that emphasize academic achievement, but that also account for a wide range of personal accomplishments and educational contexts. Two SAT

Subject Tests will no longer be required for admission. However, students can still choose to submit their scores for consideration as part of their application, just as they do now with AP scores.

The policy is expected to broaden the pool of students applying to UC, to have a positive effect on the diversity of UC's eligibility and applicant pool, and to maintain or enhance the quality (as measured by grades and test scores) of UC's entering class. In endorsing the proposal, President Yudof cited its positive effects in terms of increasing both opportunity and fairness for California students who strive to become UC students.

UC is currently developing a public education campaign to inform students, families, and school counselors and other personnel about the new policy.

Admission Selection

Students apply to UC using Pathways, the University's Web-based application and advising system. Pathways allows prospective applicants to access up-to-date, detailed campus information, and complete their applications for admission on the Web. At campuses where the number of UC-eligible students exceeds the number of spaces available, selection guidelines are employed to select the entering class. Currently only UC Merced receives applications from fewer eligible students than it has spaces for.

In November 2001, the Regents approved the faculty recommendation for the Comprehensive Review of freshman applications at campuses that cannot accommodate all UC-eligible applicants. The goal in recommending comprehensive review was to ensure continued excellence in the admissions process at selective campuses by enhancing the quality and depth of the selection review; to expand and deepen the concept of merit implicit in the freshman review process by increasing the number of criteria considered and considering both academic and non-academic criteria for all applicants; and to maintain access to all campuses for students from throughout the eligibility pool by ensuring that all students are reviewed in the context of the opportunities and challenges they have experienced.

Applicants admitted under comprehensive review are high-achieving students, admitted from the currently defined "UC-eligible" pool that identifies the top 12.5% of the statewide graduating high school class based on traditional academic criteria. Students who do not meet UC's eligibility criteria may apply to UC but are not guaranteed admission. UC policy limits to 6% of new enrollments the number of ineligible applicants who may be admitted on a campus.

Undergraduate Admission Numbers

Freshmen

In recent years, ever greater numbers of California high school graduates have aspired to attend the University of California. For Fall 2010, UC received freshman applications from just under 82,000 California students. Approximately 18.5% of California public high school graduates applied, up from 18.1% in 2009. Applications from students in all ethnic groups are increasing,

but in recent years the largest gains have come from underrepresented groups. Over the past two years, applications from Chicano/Latino students increased by 15.4% and applications from African American students increased by 15.7%; these increases far exceed both the overall growth in the applicant pool (3.1% over the same two-year period) and the growth of these groups among the high school population.

For Fall 2010, the University of California will offer admission to all eligible applicants, although the lack of sufficient funding requires campuses to self-fund a portion of their enrollment growth and most campuses will admit fewer students than they did in 2008 to meet a Regentally mandated enrollment reduction of 3,800 freshmen across the system over the two-year period. For Fall 2009, approximately 69,000 California freshman applicants were admitted. As is the case with applications, underrepresented students comprise an increasing proportion of UC's admitted freshman class. For Fall 2009, 15,780 (just under 27%) of admitted freshmen were African American, American Indian, Chicano, or Latino. This is an increase of 20.0% over the 13,154 underrepresented California residents admitted for Fall 2007.

UC's freshman class is diverse in many respects. For Fall 2009, 40.3% of California resident freshman enrollees would be the first in their families to graduate from college, 39.0% came from low income families, and 21.4% graduated from high schools with API scores of 4 or below (data as of July 2009). All of these percentages have increased steadily in recent years.

Despite the rapid growth in the number of students admitted to UC and the substantial proportions of our students who come from disadvantaged circumstances, the quality of our freshman class remains very high. Based on preliminary data, the average high school GPA for Fall 2009 California resident freshmen was 3.82. Average SAT scores were 1776 on a 2100 point scale (the equivalent of 592 on each of the three components of the exam). On average, UC freshmen complete more than 23 year-long college preparatory courses in high school and 23.1% of the admitted students in March 2009 were among the top 4% of graduates in their schools.

Community College Transfers

Expanding community college transfers to UC was defined as a goal in a 1997 memorandum of understanding between the University of California and the California Community Colleges, and again in a subsequent "partnership agreement" of mutual commitments between UC and Governor Davis' administration. UC continues to honor the spirit of these agreements and has made efforts on a number of fronts to increase transfer enrollments. In March 2008, the University's long-range enrollment plan identified increasing the proportion of our undergraduates who enter as juniors as a primary goal. For the Fall 2009 and 2010 entering classes, UC has increased targeted enrollment for community college transfers by 500 students each year (a total of 1,000 students), despite an overall reduction in enrollment targets undertaken to reduce the amount of unfunded undergraduate enrollment. UC succeeded last year in increasing community college transfers, with enrollment of California resident community college transfers increasing by 775, from 12,933 in Fall 2008 to 13,708 in Fall 2009.

For Fall 2009, underrepresented students (African American, American Indian and Chicano/Latino) comprised 21.2% of the total admitted community college transfers, up from 19.8% in the previous year. Fall 2010 applications show another increase in the diversity of the transfer applicant pool: underrepresented students increased by nearly 40% compared to an increase of just over 20% in the transfer pool overall.

There has been a great deal of interest on the part of the State and the University in improving the transfer pathway to a baccalaureate degree. In 2009, President Yudof, Chancellor Reed of the CSU, and Chancellor Scott of the California Community Colleges convened the Community College Transfer Task Force with the charge of finding ways to widen the transfer route. The Task Force, which included faculty and staff from all three segments, issued an interim report in 2009 with eight recommendations. The intersegmental collaboration begun by the Task Force continued in 2010 with President Yudof convening the California Education Round Table to discuss, among other things, the transfer function. President Yudof expressed his desire to work with CSU and CCC to make transfer easier for students, and the UC Commission on the Future will be reviewing a number of transfer-related recommendations that have developed from these conversations.

More detailed information and data on undergraduate and graduate student admissions and enrollment (by campus and by ethnicity) is available at:

<http://www.ucop.edu/ucophome/uwnews/stat/statsum/fall2008/statsumm2008.pdf>

Pre-College Academic Preparation

For more than 30 years, the University of California has been at the forefront of the nation's efforts to develop programs to assist disadvantaged students in gaining access to higher education.

The University's Student Academic Preparation and Educational Partnerships (SAPEP) programs work in partnership with K-12, business and community organizations, and other institutions of higher education to raise student achievement levels generally and to close achievement gaps among groups of students throughout the K-20 pipeline. UC's portfolio of SAPEP programs raise college eligibility rates, increase transfer from community colleges to baccalaureate-degree granting institutions, and prepare undergraduates for graduate and professional studies. In January 2005, the Regents adopted a resolution affirming the work of the University's student academic preparation programs as a fundamental part of the University of California's mission.

In 1997-98, after the adoption of SP-1 and Proposition 209, the University's budget for student academic preparation programs was \$18.1 million from State and University funds. The total grew to a high of \$85 million in 2000-01, but was reduced by \$55.7 million over the next several years, bringing the total budget to \$29.3 million in 2004-05 and 2005-06. In 2006-07, a \$2 million augmentation to expand community college transfer programs brought SAPEP's budget to \$31.3 million, of which \$19.3 million was State General Funds. The Governor's proposed budget for 2009-10 originally slated SAPEP programs for elimination, but the Legislature converted the cut to an unallocated reduction. As permitted by the 2009-10 Budget Act,

campuses have been instructed to limit cuts to any program within the portfolio to no more than 10%, which is only half the percentage level cut to the University's State funds in 2009-10.

In fall 2002, the University authorized an independent Strategic Review Panel on UC Educational Outreach to assess the effectiveness of UC's academic preparation programs in meeting its goals, to define desirable changes to the University's overall academic preparation plan, to set reasonable short- and long-term goals for the University in pursuing its academic preparation agenda, and to recommend a new working alliance with the State's K-12 educational bodies, California Community Colleges and Universities.

In April 2005, the University worked with policy staff from the Legislature, staff from the Governor's Administration, and program evaluation experts to establish a SAPEP Accountability Framework that articulated goals and intended outcomes for all SAPEP programs. SAPEP programs also use what they learn from this new accountability process to guide them in making adjustments to bring services in line with available resources.

The University believes stability in the funding of these programs is critical to their success. To that end, the University reports regularly to the Legislature on goals and accountability data demonstrating scope and effectiveness for individual programs.

In 2009 the University launched a new systemwide department, Education Partnerships, which oversees the SAPEP programs and expands University efforts to bring together its research, teaching and public service resources with those of other education segments to address issues in public education that prevent far too many students from achieving at levels that will make them college- and workforce-ready.

14. STATE ISSUES: DIVERSITY

The Board of Regents has a continuing interest in diversity. Acting on recommendations of a report from a Universitywide task force, the Board of Regents took three actions at their September 2007 meeting:

1. The Board adopted as policy a Diversity Statement, which reads in part: “Because the core mission of the University of California is to serve the interests of the State of California, it must seek to achieve diversity among its student bodies and among its employees.”
2. The Regents endorsed the Report’s finding that “change is needed.” The study group found that, while there are many pockets of success and innovation in seeking and supporting diversity, the University as a whole has not made sufficient progress and needs to focus greater sustained attention in this area.
3. To monitor progress and ensure accountability, the Regents affirmed that clear, consistent and regularly produced data are necessary to “shine a light” on the University’s efforts to increase and support diversity. To help achieve that goal, the Regents adopted a policy that will require the UC President to report annually on the status of diversity at the University.

The Annual Accountability Sub-Report on Diversity

Each September the Annual Accountability Sub-Report on Diversity is presented to the Regents. The complete report from 2009 is available at

<http://www.universityofcalifornia.edu/regents/regmeet/nov09/j2.pdf>.

In addition to the Annual Accountability Sub-Report on Diversity, there are a number of Accountability Reports presented on a bi-annual basis that include diversity among the topics they cover:

- Accountability Sub-Report on Admissions and Enrollments
- Accountability Sub-Report on Faculty Competitiveness
- Accountability Sub-Report on Health Sciences
- Accountability Sub-Report on Graduate Academic and Professional Degree Students
- Accountability Sub-Report on Staff

The total University community is made up of faculty, students and staff – and there are multiple categories of each. The most racial, ethnic and gender diversity is found among undergraduate students, and the least among faculty (Figures 1 and 2).

UC often describes its diversity aspirations in terms of “reflecting the diversity of California.” Figure 3 compares the racial and ethnicity profile of the University of California to the state and the nation. Both the University and the state are much more diverse than the nation as a whole. However, the University demographics have not kept pace with the growing Chicano/Latino

population of California. Figure 4 presents staff totals by race/ethnicity for each campus and the Office of the President.

FIGURE 1: University Community by Race/Ethnicity and Detailed Member Type, October 2008

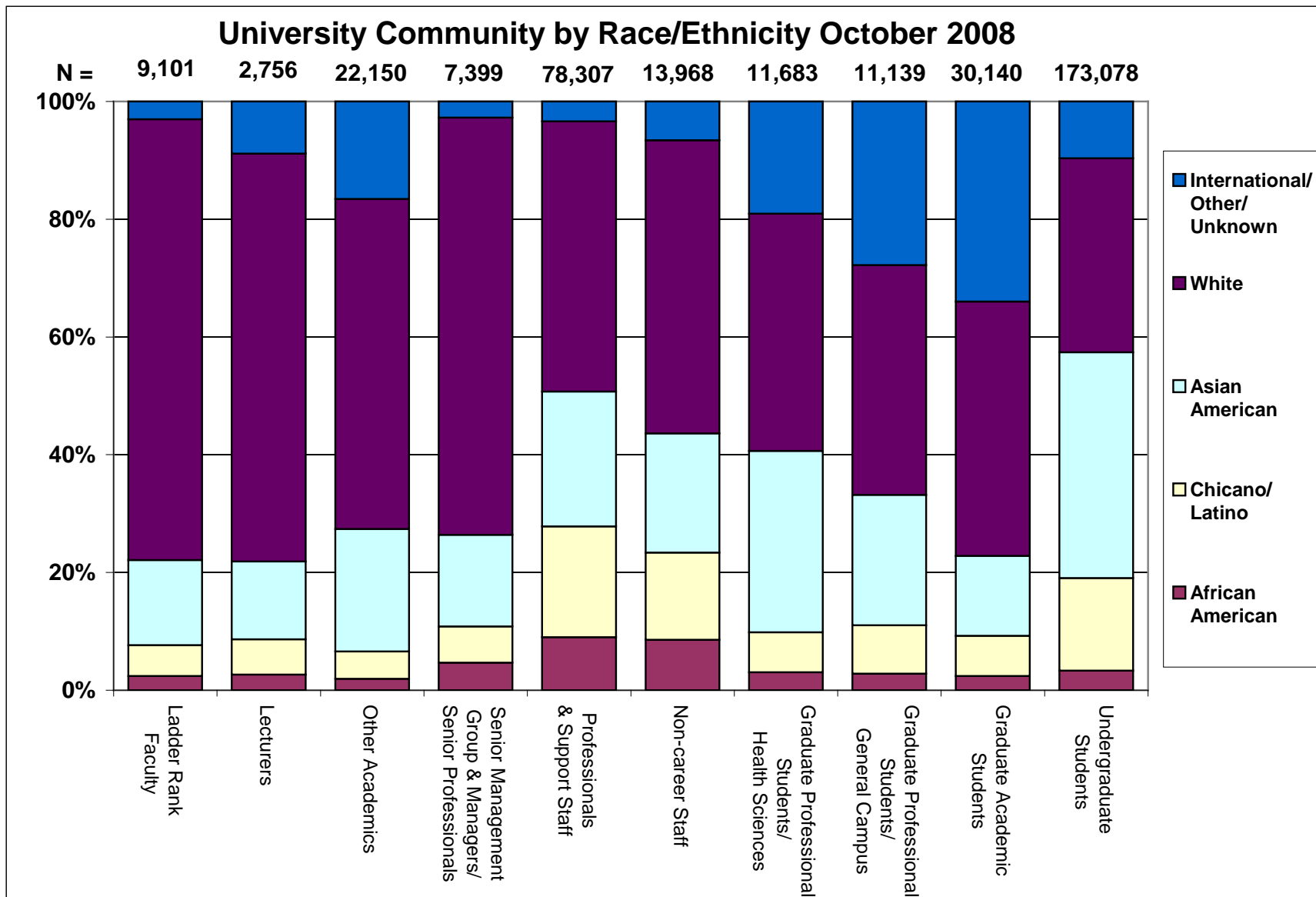


FIGURE 2: University Community by Gender and Detailed Member Type, October 2008

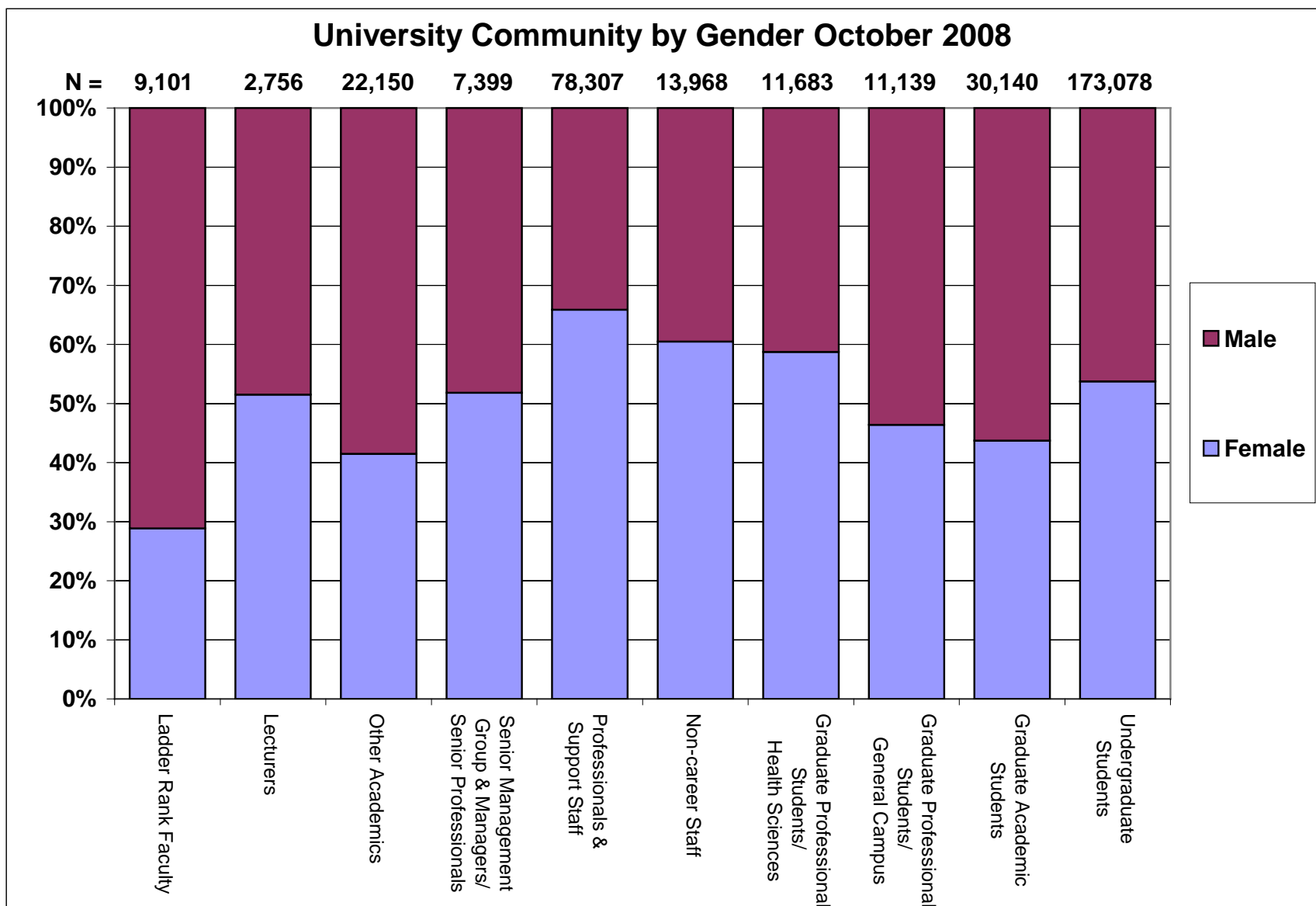


FIGURE 3: Race/Ethnicity at UC, in California and the Nation, 2008

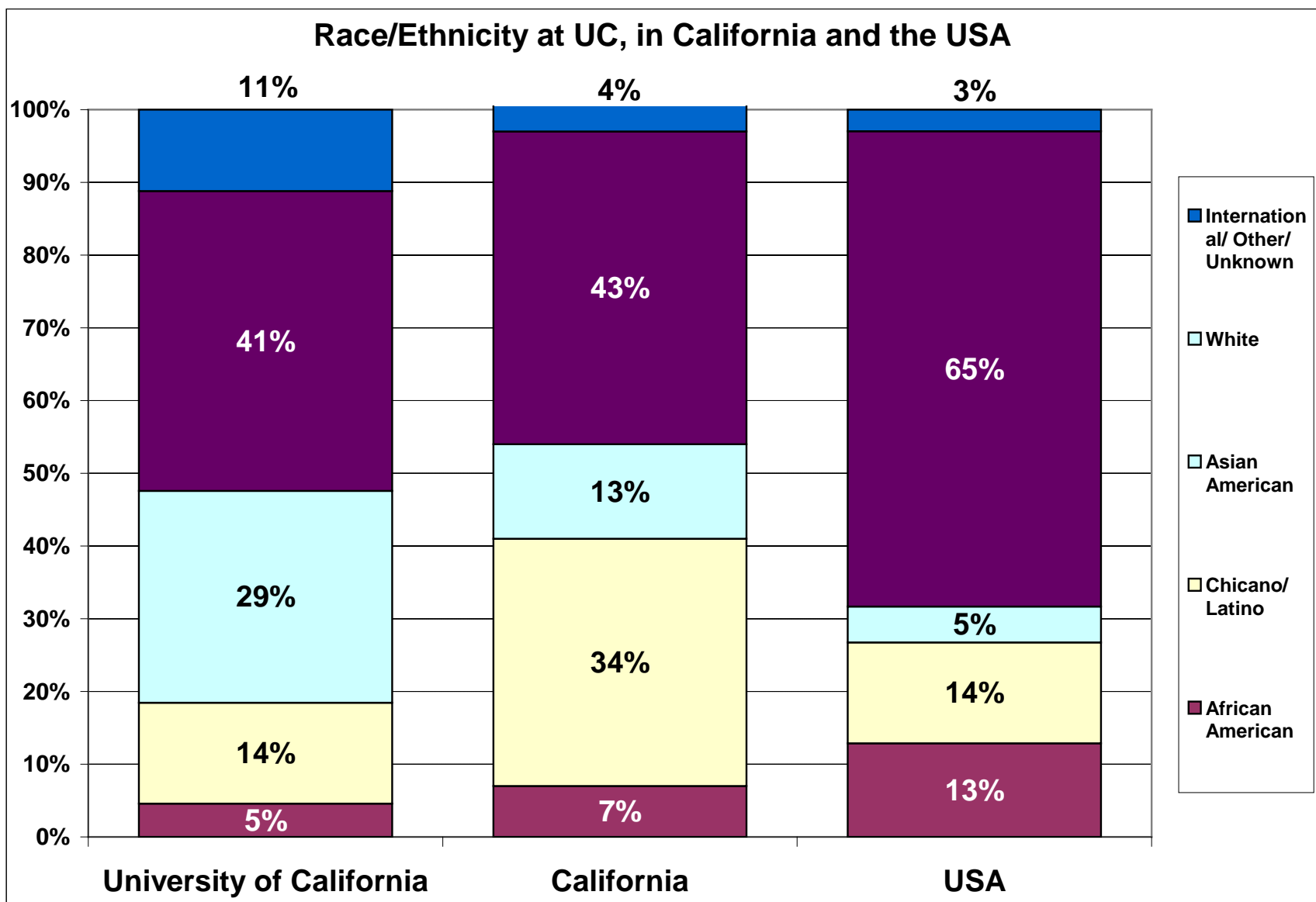
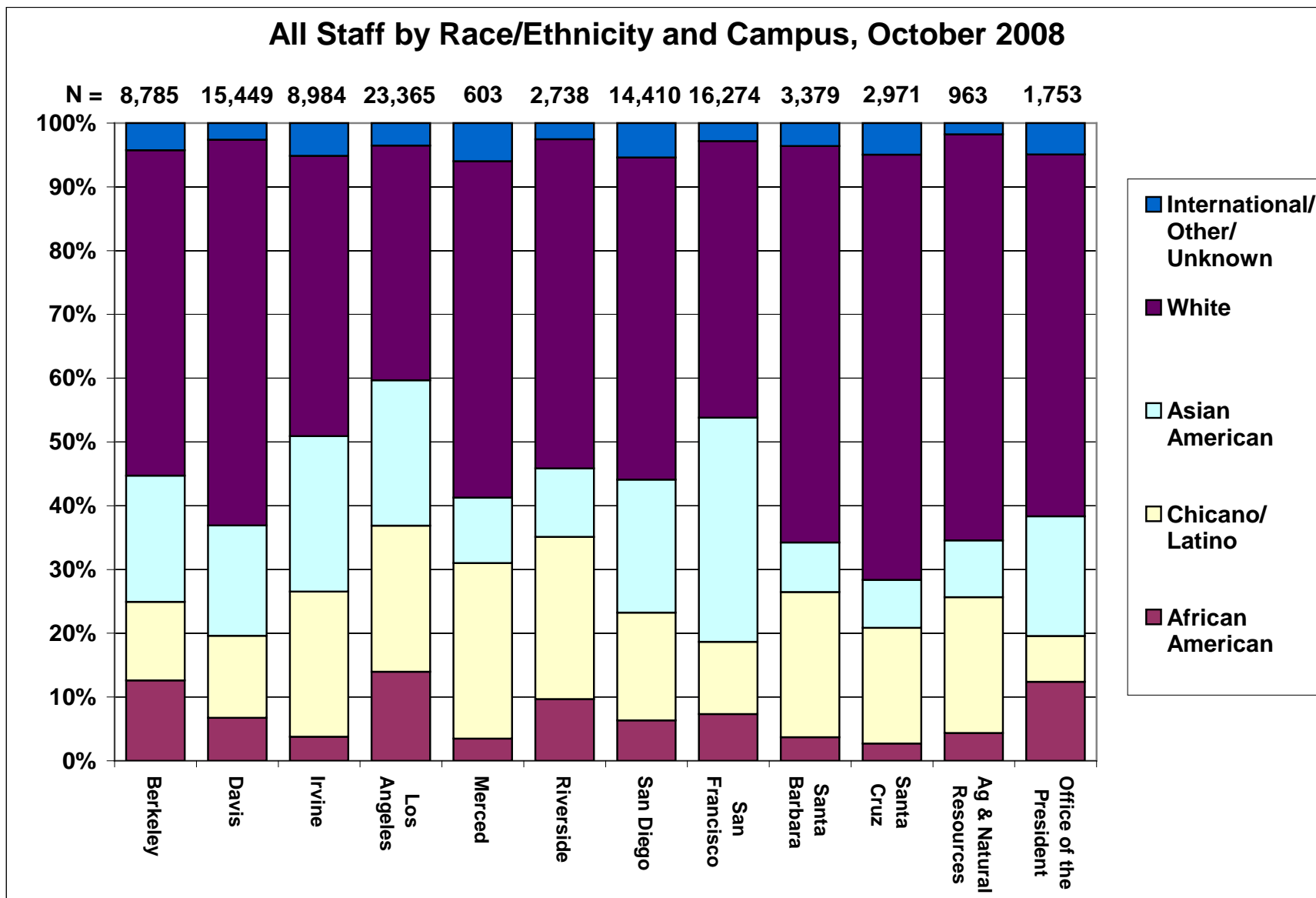


FIGURE 4: All Staff by Race/Ethnicity and Campus, Oct 2008



15. STATE ISSUES: STUDENT AFFAIRS

Student Affairs divisions across the University of California are primarily concerned with ensuring access and affordability and providing meaningful co-curricular programs and activities. From admissions, financial aid, orientation, housing and residence life to athletics, international services, and student activities and leadership, Student Affairs provides services and programs that affect all aspects of students' lives inside and outside of the classroom.

University of California Undergraduate Experience Survey (UCUES)

UCUES is a collaborative survey research project among the nine undergraduate UC campuses. This census survey is sent to all UC undergraduates, and covers most aspects of students' academic and co-curricular experiences. The breadth of survey content and the robust participation (63,528 respondents in 2008, over 39% response rate) make UCUES a valuable tool of accountability and understanding, in reports to the Regents and legislative committees, WASC accreditation, and campus academic program review.

Among the key findings in the 2008 UCUES (2010 data are not yet available):

- Seniors reported substantial gains in key academic skill areas, including critical thinking, reading and writing. When UC seniors looked back at their freshman year, only 7% felt they possessed a “very good” or “excellent” knowledge of a specific discipline, whereas 77% of UC seniors rated their current knowledge as “very good” or “excellent.”
- 58% of respondents participated in community service. This is an increase from 44% in 2006.
- 54% of respondents were employed either on- or off-campus, with employed students working an average of 14.2 hours per week.
- 84% report that they belong at their campus and, knowing what they know now, they would still enroll there.
- 86% say that students are respected at UC regardless of their gender, sexual orientation, religion, political beliefs, race/ethnicity, or economic or social class. This is an increase from 79% in 2006.
- 83% are satisfied with their UC academic experience, and 76% of responding students are satisfied with the value of their UC education relative to the cost.

Student Mental Health Services

The Regents have identified the enhancement of student mental health services as a high priority. The UC Student Mental Health Committee (SMHC) issued a final report in September 2006 with the following findings:

- UC students are presenting mental health issues with greater frequency and complexity.
- Budget trends are limiting the capacity of campuses to respond to mental health issues, resulting in longer student wait-times, difficulty retaining staff, and decreased services and programs.
- The increasing demand and declining capacity pose a threat to the student learning environment at UC.

Because student Registration Fees support services like student mental health, the Regents responded to the SMHC report in March 2007 by approving principles for determining Registration Fees. These principles included the development of a multi-year plan to address needs such as student mental health. As part of the continuation of this multi-year plan, in May 2008, the Regents approved a 10% increase in Registration Fees (\$78 per student), with half of the increase devoted to supporting student mental health services. The Student Mental Health Committee reported to the Regents in March 2009 that campuses have used this funding to begin to implement the recommendations and that strides have been made in the areas of staff ratios and reduced waiting times. The Committee continues to meet and to consider low-cost initiatives which can be implemented at UC, and which will meet the growing mental health needs of our undergraduate and graduate students.

Services for Former Foster Youth

Each year, over 3,000 youth in California age out of foster care without having a permanent family. These youth graduate from high school, pursue higher education, and complete postsecondary education at much lower rates than their peers. In recent years, the University has increased its commitment to serving these students. In 2006, only two campuses had established programs dedicated to serving foster youth. Since then, six other campuses have added such programs, and the University has joined the California College Pathways Project, a partnership aimed at increasing the number of foster youth in California who enter and successfully participate in higher education.

The University estimates that approximately 150 entering students in the 2008-2009 academic year are former foster youth with independent student status. These students lack the traditional family supports upon which most college students rely and can benefit greatly from the support of targeted campus programs. In a survey conducted by the California College Pathways Project, all UC campus foster youth programs reported at a minimum to be serving their students, in some capacity, in each of the areas recognized as key to the success of former foster youth:

1. Year-round housing
2. Financial support
3. Academic advising, career counseling and supplemental support
4. Personal guidance, counseling and supplemental support
5. Opportunities for student community engagement and leadership
6. Planned transition to college, between colleges and to employment

The University has also recognized the importance and impact of key external efforts to support foster youth. Most recently, UC supported Assembly Bill AB 669 (Fong) which allows an exception to the uniform residency requirements for a student 19 years of age or under, and AB 1393 (Skinner) which gives current and former foster youth priority for year-round student housing, both of which were signed by Governor Schwarzenegger in October 2009. Foundations such as the Stuart Foundation and the Orangewood Children's Foundation of Orange County have also played a significant role throughout the University's efforts to enhance access and support for former foster youth.

Moving forward, the University's collective challenge is to increase the number of foster youth

entering higher education, and if UC is to achieve this goal in today's economic times, the University will have to maintain and expand its collaborative work with the legislature, foundations and community partners.

Access and Support for Veterans and Active Duty Military Personnel

In response to the growing number of Iraq and Afghanistan-era veterans and active duty military personnel, UC has made a number of changes to provide this population with more access and better services. Those changes include:

- Admission policy: UC has changed its admissions application and admissions process to make clear that service in the military will be counted positively in the admissions process.
- Better data: Beginning Fall 2007, UC changed its application and enrollment forms to better identify veterans in the UC system. Additional revisions to these forms are being considered to further refine the data they provide.
- Financial aid policy: Effective Fall 2008, UC campuses began applying all veterans educational benefits towards reducing veterans' self-help contributions and not towards reducing the student's eligibility for UC grants. This practice increases a veteran's eligibility for UC grants by up to \$9,900 and completely eliminates the self-help contribution for those students who qualify for the full amount of GI Bill benefits.
- Veterans education benefits: The Post-9/11 GI Bill provides veterans with significant financial assistance for fees and living expenses. Unfortunately, administering the new GI Bill has been complicated and challenging for the U.S. Department of Veterans Affairs (VA). UC has been at the forefront nationally in anticipating the challenges presented by the benefit and has worked to mitigate the impact of long processing delays by the VA and to provide timely and clear guidance to campuses as they navigate the benefits' many rules.
- Course registration: UC campuses have created priority class enrollment policies for veterans and active duty service personnel. These policies are critical, as federal education benefits received by veterans and active duty service personnel are highly contingent upon their course unit load.
- Veterans coordinators: Each UC campus has a veterans coordinator or a veterans support team who can aid in the benefits process as well as help veterans identify resources on the campuses. On many campuses, student veterans play an active role in supporting their peers, by either working advisors in veterans services offices, serving as mentors, or by forming veterans student groups.
- Systemwide and campus web pages for veterans: UCOP has a systemwide web page that highlights the admissions changes as well as links to campus veteran coordinators and to other resources for veterans (<http://www.universityofcalifornia.edu/veterans>), and the campuses have improved their web pages for veterans as well.

UC is also a member of Governor Schwarzenegger's Troops to College initiative, an effort that brings together the state's higher education segments and related agencies (e.g., Department of Education and the Department of Veterans Affairs) to provide educational opportunities and assistance to active duty service members and veterans. The initiative has been instrumental in

sharing best practices for serving veterans and in facilitating communication among all of the state's stakeholders who have an invested interest in supporting this population.

Graduate Student Health Insurance Program (GSHIP)

The University of California (including UC Hasting College of the Law) currently has 11 separate health insurance plans for approximately 40,000 insured graduate and professional students. These GSHIPs vary substantially by campus with respect to benefits, premiums, administrative oversight, and cost containment.

In August 2008, the UC Office of the President charged a workgroup, composed of graduate students, health center directors and other campus and UCOP leadership to undertake a fresh examination of the structuring of GSHIPs at the University. To this end, the GSHIP workgroup released a Request for Proposals (RFP) to the nation's top health insurers and asked them to provide quotes for fully-insured and self-insured options, as well as for dependent care and continuing coverage post-graduation. Preliminary analysis shows the University can realize potential savings of millions of dollars in the first year of a self-insured systemwide plan.

At their November meeting, the Regents authorized the President to establish universitywide policy that requires proof of health insurance coverage as a non-academic condition of enrollment for all University graduate students, effective fall 2010. This action will enable the workgroup to proceed to negotiations with providers indentified in the RFP process.

The GSHIP workgroup has now entered its cost validation and implementation phase, which involves obtaining clarification from finalist bidders, assessing the University's risk to self-insure the program, and determining the cost to UC for administering a systemwide plan. Once this work is complete, an infrastructure to support the annual program will be established.

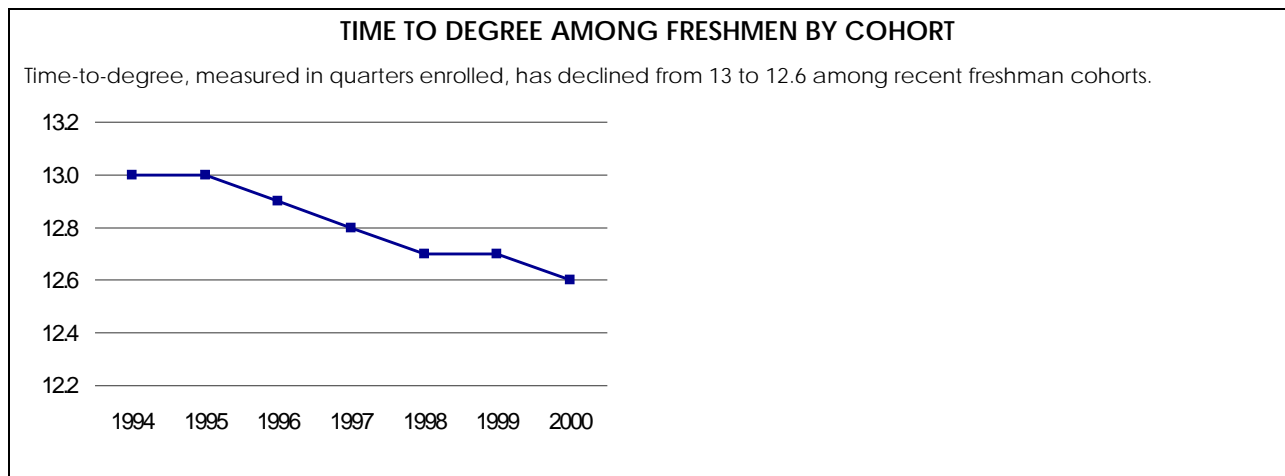
16. STATE ISSUES: PERSISTENCE, GRADUATION RATES, AND TIME-TO-DEGREE

The University remains committed to ensuring that undergraduate students are able to complete their degrees on time and maintaining its excellent record of improving persistence and graduation rates and reducing time-to-degree among all students. Accordingly, campuses have developed advising and administrative initiatives to facilitate persistence and timely degree completion. Campuses continue to ensure course availability by sustaining increases in faculty teaching effort, creatively managing the curriculum and its delivery (for example, through targeted and broader summer offerings), and expanding use of instructional technology.

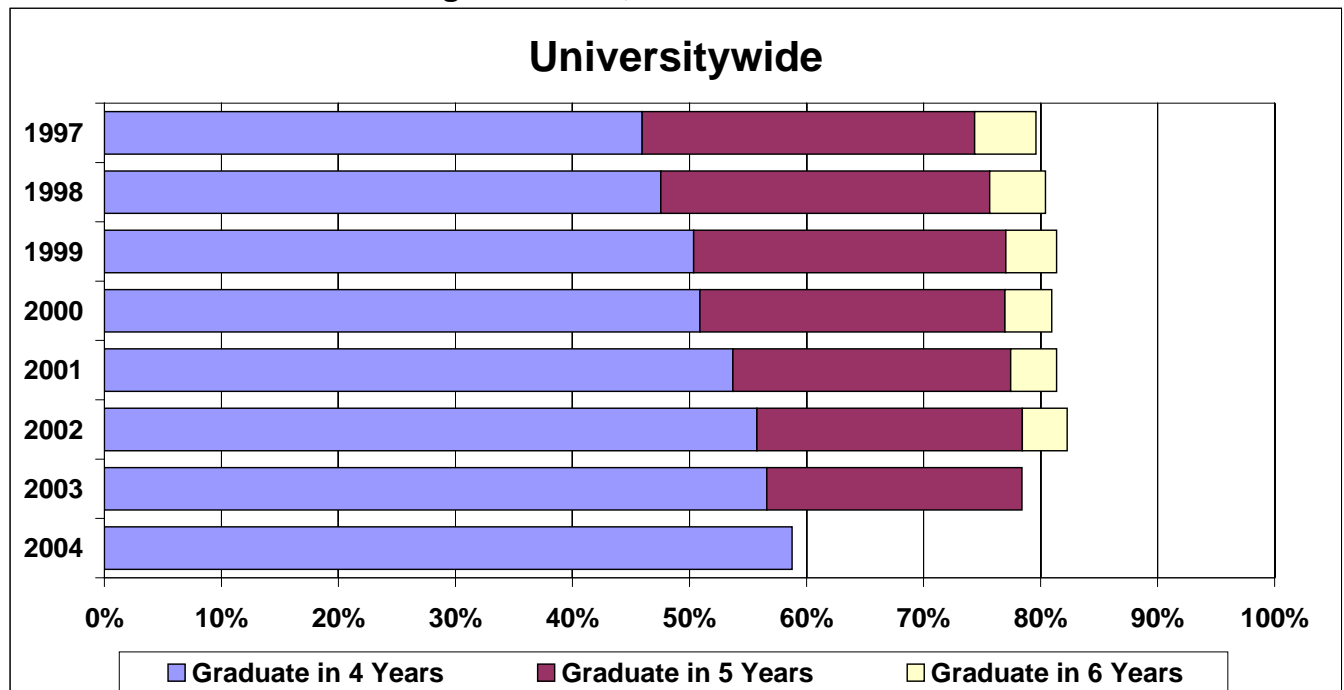
For UC undergraduates, the number of terms enrolled has dropped from 13.4 enrolled quarters (where a four-year degree equals 12 quarters) for the 1984 freshman class to 12.6 for the 2000 cohort. About half of UC freshmen graduate in 12 or fewer registered quarters; they are able to do this by taking full academic loads each year and by not exceeding the 180 units required for graduation. Students may take more total units or take longer to graduate if they change majors, undertake a double major, major in a field with a higher unit requirement, or take a lighter load some terms, often to accommodate working part-time. In recent years, campuses have worked to increase the average number of units taken during a term and reduce excess units taken over a student's career, enabling more students to graduate in four years and making room for others.

Freshman and transfer persistence and graduation rates have steadily risen over time. Among recent freshman cohorts, 92% of students persist into the second year and nearly 57% graduate within four years. Those who do not graduate in four years typically require only one more academic quarter to earn their degree; 77% of the 2001 entering freshmen earned a baccalaureate degree within five years and 81% within six years. UC graduation rates far exceed the national average: among first-time students entering four-year institutions nationwide, only 56% earn bachelor's degrees within six years.

Students beginning their higher education at a California Community College (CCC) have historically done very well after transferring to UC. Among CCC transfer students, 92% persist to a second year and nearly 86% earn a UC degree within four years, taking on average 7.3 quarters at UC to complete their degrees. Transfer students' UC grade point averages upon graduation are about the same as those of students who entered as freshmen.

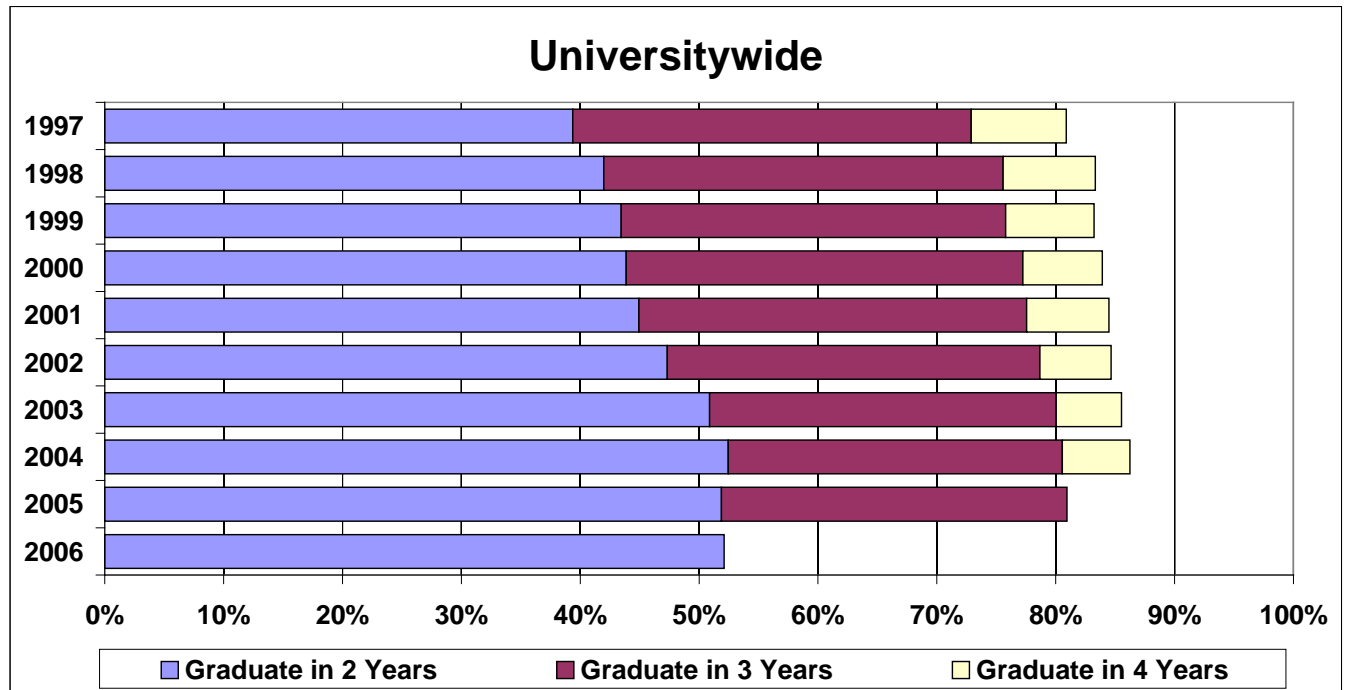


Graduation Rates for Entering Freshmen, Fall 1997 to 2004



Graduation rates at UC are improving steadily. Four-year graduation rates, in particular, have risen rapidly, from 36% for freshmen who entered in 1992 to 59% for the 2004 entering cohort. Likewise, six-year graduation rates have risen from 76% in 1992 to 82 in 2002.

Graduation Rates for Entering Upper-Division California Community College Transfer Students, Fall 1997 to 2006



A total of 87% of transfers to the University of California are upper-division students from the community colleges.

Graduation rates for upper-division community college transfer students parallel those for entering freshmen—52% of CCC transfers graduate in two years, 81% graduate in three years and 86% graduate in four years.

17. STATE ISSUES: GRADUATE EDUCATION

Need for Graduate Education

Graduate education at the University of California has long played a critical role in producing the research innovations and skilled workforce that fuel California's economic development, helping to establish California as one of the ten largest economies in the world. UC graduate education and research spawned the biotechnology industry, and UC graduate alumni have been leaders in the development of other high-tech industries, including electronics, pharmaceuticals, telecommunications, nanotechnology, electronic gaming, and the special effects film industry, among others. These industries have produced millions of new jobs for workers, not just for those with graduate degrees but also those with a range of educational levels.

As the state's economy continues to shift toward jobs requiring advanced education, California will need to fill more than a million new positions requiring advanced degrees by 2025 – a 68 % increase from 2005. In addition, the retirement of the large baby-boom generation of highly educated workers and the significant decline in in-migration of educated workers from other states and nations mean that California will have to educate more of its own, in order to meet workforce needs.¹

California's colleges and universities depend heavily on graduates of UC's Ph.D. programs for their faculties. Nearly a quarter of all UC and CSU faculty members received their Ph.D. training at UC, and even more are likely to come from UC in the future. Over the next 10-15 years, California's public and private four-year institutions will need to hire an estimated 25,000 new faculty members to teach the growing numbers of undergraduates and to replace retiring faculty. Because many doctoral institutions elsewhere are not planning to increase graduate enrollments, California's colleges will turn to UC's graduate programs for more of their faculty hires.

California's universities and colleges also fall short of producing enough graduates for professional and managerial jobs, many of which require a master's or doctoral degree. California has experienced sharp growth in professional and managerial jobs in the past two decades, with only small increases in the number of graduate degrees awarded by its public and private universities. This has been expensive for California companies, which have had to recruit from out-of-state and compete for scarce talent within California.

Graduate education also benefits California's residents by increasing their economic mobility and employment. According to the U.S. Bureau of Labor Statistics, as individuals attain higher levels of education, their income levels rise and unemployment rates drop: Ph.D. degree recipients receive, on average, nearly two and a half times the earnings of high school graduates, and one and a half times the earnings of bachelor's degree recipients. Opportunities for graduate education will be especially important for the state's underrepresented ethnic minorities, which

¹ Hans P. Johnson and Deborah Reed, "Can California Import Enough College Graduates to Meet Workforce Needs?," *California Counts: Population Trends and Profiles*, San Francisco: Public Policy Institute of California, May 2007.

historically have had much lower rates of graduate education and which are projected to become the majority of the state's population within the next 15 years. Unless more receive a graduate education, not only will their individual horizons be more limited, but the state will have more difficulty meeting future workforce needs.

UC's Graduate Programs and Program Quality

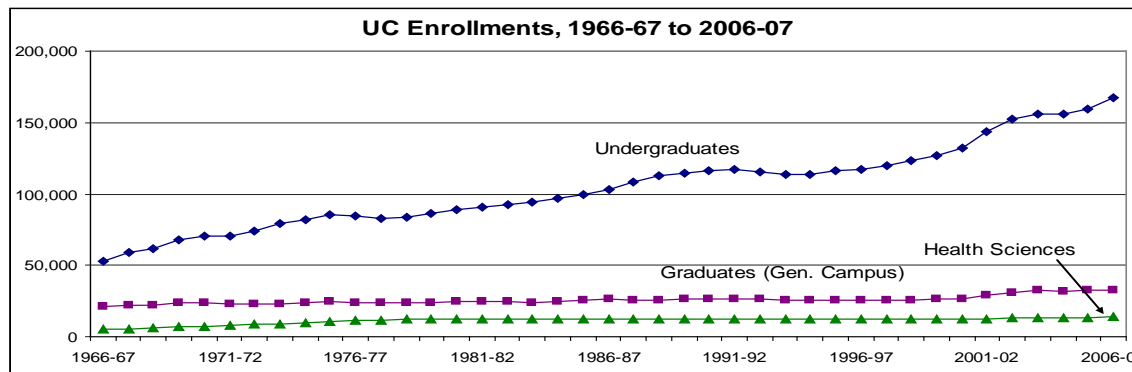
The University offers nearly 700 master's, doctoral, and professional degree programs across its 10 campuses. These range from aerospace engineering to world cultures and history, from bioinformatics to visual arts, from M.B.A. programs for California's entrepreneurs and executives to programs for school teachers, lawyers, physicians, and social workers. In response to both changing workforce needs and new research directions, over 200 of these programs prepare students in programs that cross traditional disciplinary boundaries, for example, programs in environmental science and management, or in digital arts and new media.

UC awards over 3,500 Ph.D.'s each year – nearly 60% of all Ph.D.'s awarded in California, and nearly 70% of Ph.D.'s in science and engineering fields. UC also awards 8,000 professional degrees and teaching credentials annually, including 60% of all M.D. degrees awarded in California, a quarter of all engineering master's degrees, and all of the state's veterinary medicine degrees.

UC graduate programs are highly rated. Over a third of all UC doctoral programs rated were ranked in the top 10 on faculty quality by the highly regarded National Research Council in its most recent assessment in 1995. A number of UC's professional programs in business, education, engineering, law, and medicine rank highly in *U.S. News and World Report's* annual rankings of professional programs.

Graduate Enrollment Trends

Despite the importance of graduate education to the state's economy, culture, and social welfare, the presence of high-quality programs, and high student demand for these programs, UC's graduate enrollments have grown much more slowly than did undergraduate enrollments over the past 40 years and in fact declined during much of the 1990s. As a result, the proportion of graduate students to the total student body dropped from 28% FTE in 1966-67 to 17% FTE in 2006-07 (General Campus only). Graduate growth was held down during years of state budget constraints in the 1980s and 1990s, to ensure access to all eligible undergraduates who chose to attend UC. In addition, the inability of students or departments to secure adequate and competitive student financial support has slowed graduate growth. Substantial fee increases in recent years have exacerbated these problems. UC is committed to increasing graduate student enrollments to meet the state's needs (see section 11 on long-range enrollment planning) and to obtain additional resources, particularly for graduate student support (see section 12.)



Graduate Diversity

UC is at a critical juncture in terms of fulfilling its promise to meet the educational and societal needs of the state. UC has an obligation to produce scholars and leaders capable of contending with the most challenging problems of society. However, the proportions of underrepresented minorities enrolled in UC's graduate academic degree programs over the last decade have not kept pace with national trends, despite modest overall enrollment growth in UC's graduate programs. In fall 2007, the Graduate Work Team of the Study Group on University Diversity made over 30 recommendations in 5 key areas: leadership; academic planning; resource allocation and assessment; recruitment and retention; and accountability. Campuses are now creating plans to implement these recommendations, which reflect UC's strong institutional commitment to diversity at all levels of the institution.

18. STATE ISSUES: FACULTY

Value

By any measure, the University of California faculty members are among the best and brightest internationally, leading the world in research excellence and productivity at public institutions. No other public institution can claim such a distinguished faculty, one that includes 56 Nobel laureates, 59 National Medal of Science recipients, and 232 members of the National Academy of Sciences.

The faculty shares governance of the University via its representative body, the Academic Senate, with the Board of Regents, and with the President, to preserve a history of outstanding scholarly achievement in fulfilling the University of California's mission of teaching, research, and public service. Empowered by the Regents to exercise direct control over academic matters, the Senate authorizes, approves, and supervises courses, and determines UC standards for admissions, certificates, and degrees.

UC faculty members deliver excellence in academic programs, research productivity, professional competence, and public service. Our faculty members fulfill the University's goals on behalf of the State of California by:

- Educating the workforce to keep the California economy competitive;
- Generating billions of tax dollars, creating new products, technologies, jobs, companies, advances in health care, and improvements in the quality of life; and
- Translating scientific discoveries into practical knowledge, technological innovations, and state-of-the-art health care delivery.

Eminence

The quality of the faculty is recognized through national and international lifetime achievement awards, honorary memberships in the nation's most distinguished academic societies, and many other annual awards, all evidence of extraordinary, internationally acclaimed scholarship.

Cumulatively, the faculty of the University of California includes 370 members of the American Academy of Arts and Sciences, 585 members of the American Association for the Advancement of Science and 106 members of the Institute of Medicine. The University of California has 232 members in the National Academy of Sciences, more than any other university or college in the nation.

Of the 57 Nobel Prizes received by UC faculty, 24 have been awarded since 1995.

UC's newest faculty members are leaders in their fields, as illustrated by the number who have earned Sloan Fellowships and NSF Early Career Development Program honors.

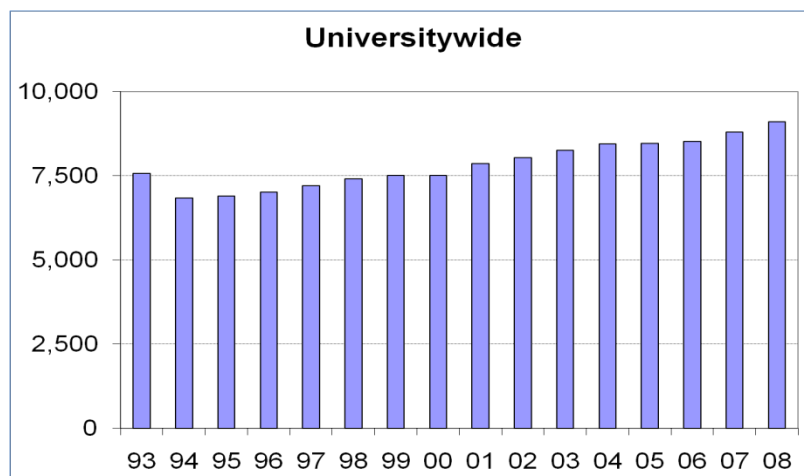
Faculty Recipients of National and International Awards, Cumulative

Award	Recipients
Fields Medal	7
National Medal of Science	59
Nobel Prize	57
Pulitzer Prize	15
Sloan Research Fellowship Awards	364
Faculty Early Career Development Awards (NSF)	233

Composition

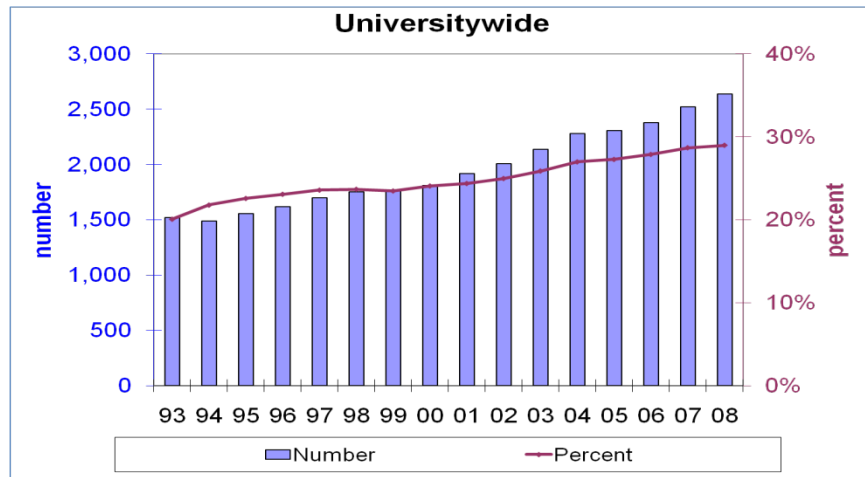
This section presents data on the composition of ladder rank faculty with regard to gender and underrepresented minority status, as well as faculty salary information.

Full-time Ladder Rank Faculty, 1993-2008



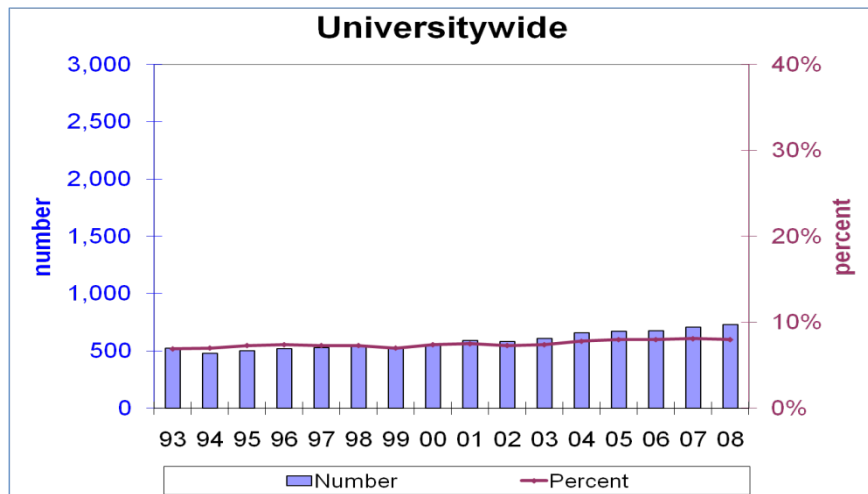
- In 1993 and 1994, the University lost many faculty members in response to a Voluntary Early Retirement Incentive Program (VERIP) that was instituted in response to state budget shortfalls. This is responsible for the drop in faculty members during that period.

Full-time Ladder Rank Female Faculty, 1993 to 2008



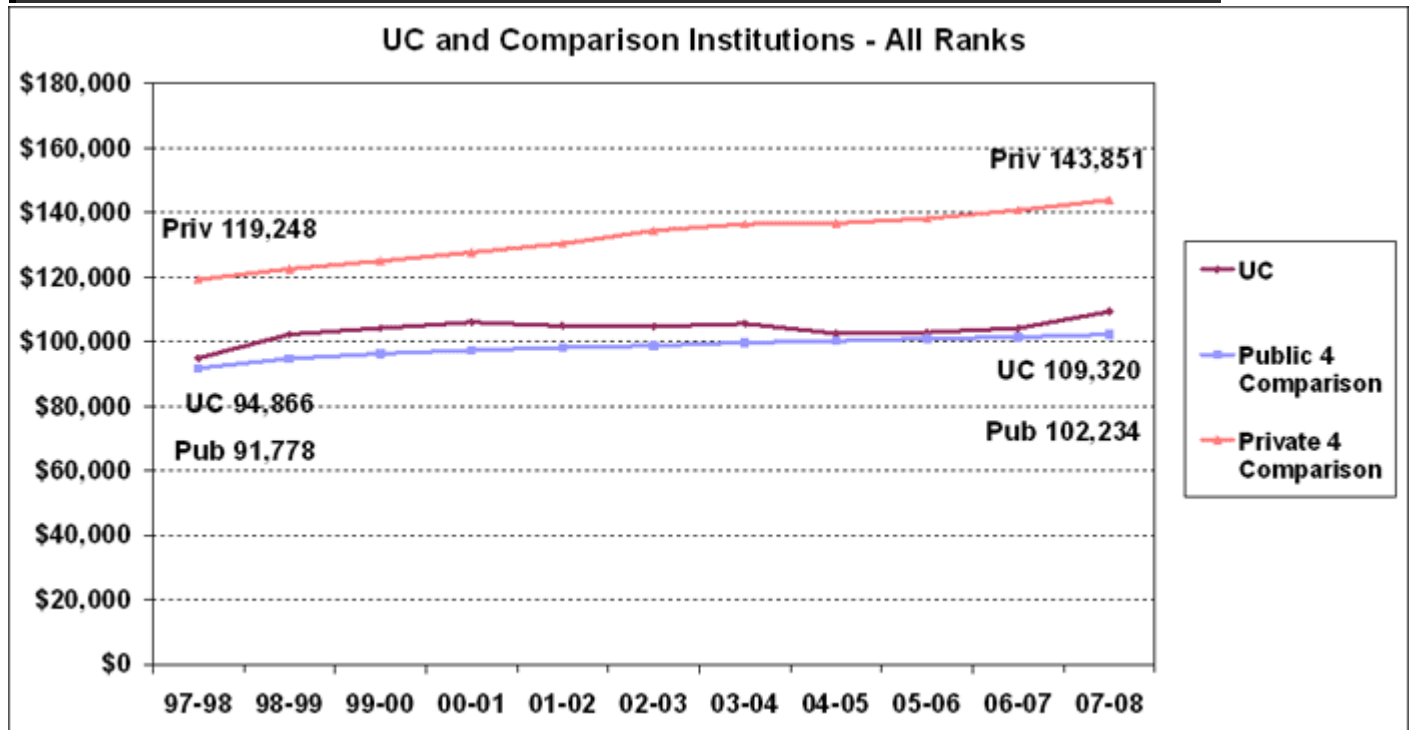
- While women make up 29% of the total faculty, the percentage varies widely by discipline.

Full-time Ladder Rank African American, Latino/Chicano and American Indian Faculty, 1993 to 2008



The percentage of African American, American Indian and Latino/Chicano faculty varies by discipline.

Average Faculty Salaries - UC and Aggregated Comparison Institutions, 1997-98 to 2007-08



The gap in faculty salaries between private and public institutions has widened over the past 10 years for faculty at all ranks. In 2007-2008, the University implemented the first of a four-year plan to raise faculty salaries, which slightly closed the gap between average faculty salaries at UC and its comparison private institutions. Subsequent years of the four-year faculty salary plan were suspended, due to the financial crisis as a result of decreasing state funds for faculty salaries. Current activities focus on assessing the effect of the financial crisis on faculty recruitment and retention efforts.

19. STATE ISSUES: PUBLIC AND COMMUNITY SERVICE

The University of California reaches far beyond its campuses into every community in California, whether it is through its county-based Cooperative Extension program, sprawling network of continuing education programs, low-cost health care services, or extensive involvement in teacher training of California's K-12 teachers.

The University is home to dozens of museums, gardens, performing arts spaces, and sports and recreational venues that enrich communities across California. UC operates a wide variety of community-based educational and public service programs, including 4-H and K-12 activities. Its students and employees volunteer thousands of hours in other vital community programs. UC also takes the arts to our children, through programs like ArtsBridge, which operates from six UC undergraduate campuses, that support young scholars in the arts, provides K-12 art classes and offers related curriculum development and training of local teachers. In 2008-09, arts-integrated curriculum was provided to 3,310 participants, about 75% in low-performing and underserved K-12 public classrooms.

Information Access, Publishing, and Broadcast Services

UC is also home to an unprecedented array of educational and scholarly information and publishing services. The services have been developed on a systemwide basis to ensure that faculty, staff, and students have access to the information they need, and opportunities to disseminate the results of their work worldwide. Known for their innovative use of information technologies and their emphasis on open access distribution of scholarly information, these services had, by 2006, emerged as market leaders in their respective spheres and include:

- California Digital Library;
- Language Learning Consortium;
- UC College Prep Online;
- UCTV; and
- University of California Press.

In 2006, these services were consolidated into a single organizational home with uniform leadership and consistent accountability to the Provost. The action improved coordination and integration, achieved greater efficiency in the development and use of essential infrastructure, and encouraged and enhanced innovative programming. In 2009, the Information, Publishing and Broadcast Services developed a prototype of the future public UC portal.

The UC portal will enable anyone anywhere to virtually “attend” the world's largest public university, discover its treasures, and participate in discussions of topical issues. The multimedia portal will simultaneously provide scholars and students with unique reference tools for advancing teaching and research. The prototype portal, focused initially on climate change, was made available to the public in March 2010.

The largest educational library system in the world, UC has more than 100 libraries, serving faculty and students but also thousands of Californians who live and work beyond campus borders. Non-UC patrons borrowed more than 5.7 million UC library items between 1998-2005.

In 2005, more than 13% of borrowing from UC libraries was by non-UC patrons; and more than 92% of the searches of the digital library's online archive have been by non-UC users. From local public libraries, the community can access UC library services and materials through interlibrary loans. In August 2006, many of the libraries' public offerings were brought together in Calisphere (<http://www.calisphere.universityofcalifornia.edu>), a free public gateway provided by the California Digital Library (CDL) and introduced to the public by Superintendent of Public Instruction Jack O'Connell. Calisphere opens out onto thousands of digitized primary sources – including photographs, documents, newspaper clippings, and works of art – from UC museums and libraries and other cultural heritage institutions across California. Materials are organized according to the California State Board of Education Content Standards, thereby making it easy for teachers and students to find materials that are relevant to school curricula.

UC is also a center for lifelong learning and continuing professional development. UC Extension, one of the world's largest providers of continuing education, enrolls 325,000 Californians in 18,000 different courses around the state each year.

Student Community Service and Service Learning

Students throughout the UC system are actively involved in serving their respective communities. The University formally monitored much of this activity and reported summaries to the Legislature during the late 1980's and early 1990's with the Human Corps Program (a legislatively established program to encourage community service). Though these formal reporting requirements are no longer in effect, recent efforts to collect information from campuses yielded the following categories of service activities supported by UC:

Volunteer placement and recruitment: Campus volunteer placement centers help students, staff, and faculty locate service opportunities that suit their talents, interests and schedules. They maintain clearinghouses of volunteer opportunities, invite community organizations to campus where they can set up information tables to reach students interested in volunteering, and offer workshops to nonprofit agencies to aid in managing volunteers. Many student organizations at each campus with a strong volunteerism and service focus also actively engage students in a wide variety of community service activities and related opportunities, including, for example, tutoring and mentoring in local schools, blood drives, and neighborhood improvement and environmental clean-up projects.

Service learning: Service learning courses combine formal training and academic instruction with a service component. Students receive academic credit for these courses, and a few even receive financial assistance in connection with the service portion of their courses. Campuses offer various kinds of support for service learning: instructional support and small grants to faculty who wish to develop courses, student advising to prepare and train students as effective volunteers, and evaluation efforts to assess the impact of programs on participants as well as the people, organizations and communities served.

Coordination of programs using federal and state funding: UC campuses sponsor and coordinate service programs that utilize federal work-study funds as well as state and federal grants to help students become engaged in meaningful service.

K-12 Teacher and Student Development Activities

The University of California historically, and increasingly in recent years, has been committed to improving the quality of education in the public elementary and secondary schools. UC offers a full complement of teacher and administrative credential programs as well as masters and doctoral degrees in education. UC credential programs are designed to prepare teachers and administrators to work with diverse students and provide pedagogical content knowledge and skills grounded in research. UC faculty conduct research in all aspects of the education field, including policy, teacher effectiveness, learning development, multi-cultural education, language, literacy and culture, and many others. UC has dramatically increased the number of teachers it trains and its programs are designed to help teachers stay current in their disciplinary subject matter.

Subject Matter Projects: UC oversees a network of standards-aligned K-12 teacher professional development programs organized into broad subject areas taught in K-12 schools. Collectively, this network is known as the California Subject Matter Projects (CSMP). UC supports nine projects in reading and literature, writing, mathematics, science, history-social science, world history-international studies, foreign languages, the arts, and physical education-health that allow CSMP to offer support for the full adopted state curriculum in K-12 public schools. These programs are crucial in that they engage K-12 teachers with college and university faculty in the latest advances in disciplinary knowledge in addition to supporting the implementation of research-based instructional strategies to improve student achievement, especially in high poverty, low performing schools and for teachers of English Learners.

Teachers participate in a variety of programs including the projects' intensive training institutes developed with academic faculty and staff from the University and other institutions of higher education in California. Programs are offered at over 100 sites, from San Diego to Humboldt and from Merced to Oakland, to maximize access for the teacher workforce. The CSMP sponsored over 6,000 activities for 37,300 educators in 2008-09. Programs include intensive summer institutes with follow-up activities, in-services and workshops, professional development for school and district partnerships, teacher working groups, mentoring, coaching, mini-institutes, conferences, and conference presentations.

The CSMP also provides some training programs for teachers with emergency or pre-internship permits. The programs assist candidates in meeting subject matter requirements in subjects required by federal and state law to help them obtain full state certification.

State funding for the California Subject Matter Projects was reduced from a high of \$35.5 million in 2000-01, to \$20 million in 2002-03, and then dropped to \$5 million in 2003-04 where it remained in 2008-09. An additional \$4.35 million from the federal "No Child Left Behind" funds brings the total CSMP funding to \$9.35 million. In 2008-09, CSMP projects leveraged an additional \$15 million in outside funding in contracts, grants and in-kind to support their work.

Science and Math Initiative: UC has developed, in collaboration with the California State University, a major initiative to improve the supply and quality of science and math teachers in the State of California and thus help provide the skilled workforce that California will require if

it is to remain an economic leader in an increasingly more competitive global economy. In response to the needs of California, UC and CSU launched a new program, “California Teach,” or CalTeach, to improve the undergraduate pipeline to math and science teaching credentials. The University’s program, *One Thousand Teachers, One Million Minds*, will significantly increase the number of UC graduates who go on to teach K-12 science and mathematics by supporting production of at least 1,000 of these teachers every year, thereby helping California maintain its position of global leadership in science, technology and innovation.

The CalTeach program is now active on all nine UC undergraduate campuses. STEM undergraduate participation in CalTeach academic programs has steadily increased to over 2,000 participants in 2008-09. In addition to taking new courses specifically designed to prepare mathematics and science teachers, CalTeach students have worked with 521 mentor teachers in 419 schools and have logged more than 30,000 hours of field experiences.

The state provided \$750,000 in 2005-06 and \$375,000 in 2006-07 to support the initial infrastructure needed to implement the new initiative. UC matched that amount (\$1.125 million) to provide a total of \$2.25 million to the nine campuses—\$250,000 each to support the development of resource centers on UC campuses to operate the program. In addition, UC has obtained funding from California business and industry to support freshman student field experiences and both mentor supervising teachers and Master teachers. Fundraising for the initiative has topped \$4 million.

National discussions on global competitiveness include a focus on efforts to recruit, train, and retain high quality math and science teachers. Federal legislation, including the America COMPETES Act, and new federal initiatives such as Race to the Top, are aligned with UC’s efforts. The University supports increased federal funding for the recruitment, retention and training of high quality math and science teachers.

UCDC and UC Center Sacramento

UC Center, Washington DC

The UC Washington Center (UCDC) is a multi-campus residential, instructional and research center that provides UC students and faculty with opportunities to research, work, and study in Washington, D.C. Its offerings include nine separate academic programs run by each of the University’s general campuses as well as a forum speaker series featuring prominent scholars, politicians, professionals, journalists, and scientists. In terms of governance, UCDC is overseen by its executive director, Bruce Cain of UC Berkeley, and three advisory councils—one on academic matters, one on operations & management, and one with directors of the individual campus programs.

UCDC also houses several research units of the University of California. These include the Beyster Institute of the UCSD’s Rady School of Management, the Institute on Global Conflict and Cooperation, the Inter-University Program for Latino Research (IUPLR), and the UC San Francisco Center for Drug Development Science (CDDS). The UC Office of Federal

Governmental Relations and the California Institute for Federal Policy Research are also located at the Center.

With respect to the Center's academic programs, in response to comments received during its recent review of the program's progress to date and its future challenges, and then more recently to enormous budget pressures, the program's Academic Advisory Committee has developed a strategic plan which will move the academic program from one that is campus-based to one that emanates from the Center. The plan, currently under review by a Joint Academic Senate-Administration UCDC Task Force, is scheduled to be implemented in fall 2010.

UC Center Sacramento

The UC Center Sacramento (UCCS) has been the focal point for the University's academic, research and public service endeavors in the state capitol. Key Center activities include:

- instructional programs combining coursework and internships to provide students from all 10 campuses hands-on experience in public policy or journalism; and
- forums, seminars, conferences, and other programs on critical state policy topics to bring relevant, timely, research-based information to California policymakers. (Recent events include a climate change forum, a conference on tax reform for California's new economy, a wildfire prevention project, and a lunch speaker series on K-12 education issues.)

Through these efforts, the Center forms a bridge to, and conducts ongoing dialogues with, the broader Sacramento policymaking community. These connections both assist policymakers through the delivery of pertinent research-based expertise and the placement of student interns, and assist the University in learning about challenges facing California, the informational needs of state government, and constraints within which research must be applied. The Center is governed by a 10-member Academic Advisory Council with representatives from each campus.

The Center's academic activities were suspended after the fall 2009 term. UCCS will be reopened with the UC Davis Institute of Governmental Affairs assuming responsibility for this important system-wide program, and the center's new director will be Robert Huckfeldt, a UC Davis political science professor and director of the Institute of Governmental Affairs. UCCS will resume summer journalism classes and internships this June, and public policy classes in September. For more details on the reopening of UCCS, go to http://www.news.ucdavis.edu/search/news_detail.lasso?id=9453.

20. FEDERAL ISSUES

The University of California Office of Federal Governmental Relations (UC FGR) serves as the University's liaison to Congress and the Federal Government. Located at the UC Washington Center, UC FGR advocates on behalf of the University and its interests in education, research, healthcare and public service.

UC FGR works closely with leading national higher education and research associations, including the Association of American Universities (AAU), the American Council on Education (ACE) and the Association of Public and Land-Grant Universities (APLU).

The University's federal governmental relations office operates through advice, counsel and ongoing communication with university leadership, campuses, the Office of the President, and others interested in promoting the University's mission and activities in the nation's capital.

The office staff includes a team of experienced government, policy and communications professionals who work on behalf of the University on a wide variety of federal legislative and regulatory issues.

The Federal Partnership

Federal funds provide support for the University in three primary ways: federal research contracts and grants, student financial aid, and federally funded health care programs.

Research

Federal funds are the University's single most important source of support for research, generating \$1.8 billion and accounting for nearly 50% of all University research expenditures in 2008-09. While UC researchers receive support from virtually all federal agencies including the US Department of Agriculture (USDA), National Endowment for the Humanities (NEH), the Department of Energy's (DOE) Office of Science and the Department of Transportation (DOT), the National Institutes of Health (NIH) and the National Science Foundation (NSF) are the two largest funders of UC research. In the past, federal funds for UC research have grown dramatically, but in recent years, until 2009, increases have been modest due to constraints on federal spending. However, the American Recovery and Reinvestment Act of 2009 (ARRA), also known as the federal economic stimulus bill, included significant new funding for federally supported academic research. The FY 2009 appropriations bills also provided significant increases for NSF and DOE. UC researchers have attracted hundreds of millions of new research dollars through ARRA. (Additional details on ARRA's impact on UC below.)

Federal agency research funding supports basic and applied research and graduate student fellowships, and contributes to operations and maintenance of facilities. These investments enable UC scientists to advance understanding and treatment of disease, enhance safety and welfare, and protect and conserve the environment. The scientific innovation made possible by

federal grant awards is critical to the economy and security of California and the nation. Robust funding of key agencies is among UC's highest federal priorities.

Financial Aid

In 2007-08, UC students received more than \$1.16 billion in federal financial aid, including \$274.7 million in gift aid and the remainder in the form of loans and work-study. The significance of the federal loan programs for UC students is demonstrated by the fact that these programs comprise more than three-quarters of all federally funded aid and 37% of the total financial support received by UC students in 2007-08. Federal aid also assists undergraduate and graduate students through a variety of other programs. Needy students are eligible for federally-funded grant programs such as Pell Grants and they may seek employment under the Federal Work-Study Program, through which the federal government subsidizes up to 75% of a student employee's earnings. Graduate students receive fellowships from a number of federal agencies such as the National Science Foundation and the National Institutes of Health.

In addition to research contracts and grants and support for financial aid and education opportunities, federal funds support the Lawrence Berkeley National Laboratory, for which UC has management responsibility. In addition, federal funds support the Lawrence Livermore and Los Alamos national laboratories, for which UC is a lead member of the management contractor. (See Section 24, the UC-Managed National Laboratories, for additional details regarding UC's management role with the national labs.)

Healthcare

Finally, federally-supported health care programs provide significant funding to the University's medical centers for patient care. (Additional information on federal financial healthcare related support is below.)

American Recovery and Reinvestment Act (ARRA)

The American Recovery and Reinvestment Act (ARRA) was enacted on February 17, 2009 and included significant investments in higher education, research and healthcare. Key provisions of the stimulus package that impact UC include:

Higher Education

ARRA included extensive investments in the higher education sector that are having a direct impact on the University of California and its students, including expansions in financial aid.

Pell Grants - ARRA provided a \$500 per year increase to the maximum Pell Grant in FY 2009 and FY 2010, which together with congressional appropriations and other mandatory money allocated to the program, provides a maximum award of \$5,550 in FY 2010. Approximately 52,000 very low-income UC undergraduates are receiving \$25 million in additional Pell Grant dollars in both 2009-2010 and 2010-2011 as a result of ARRA stimulus funding.

Federal Work Study - Low-income students at UC received an additional \$3 - \$6 million in Federal Work Study funding during 2009-2010. During 2008-2009, nearly 13,000 UC students, both undergraduates and graduate students, were served through the work study program.

American Opportunity Tax Credit – Collectively, eligible UC parents and students paying for required tuition, fees, books, and course materials out-of-pocket can save up to \$88 million in federal taxes for each of two years - tax years 2009 and 2010 - under the expanded higher education tax credit in ARRA.

State Fiscal Stabilization Funds

The University has received \$716.5 million through ARRA's State Fiscal Stabilization Fund (SFSF). These one-time funds do not include ARRA contract and grant funds that campuses are receiving for research and infrastructure projects. State Fiscal Stabilization Funds were used to backfill cuts to the University's General Fund and were applied to General Fund payroll at nine campuses, excluding UCSF, and the Office of the President. (State Fiscal Stabilization Funds were only allowed to be used at institutions that confer undergraduate degrees making UCSF ineligible for this funding.)

Research

ARRA included significant funding for a number of key research agencies including \$3.0 billion for the National Science Foundation (NSF); \$10.4 billion for the National Institutes of Health (NIH); \$2 billion for research at the Department of Energy (DOE), including \$1.6 billion for the DOE Office of Science and \$400 million for the Advanced Research Project Agency-Energy (ARPA-E); \$580 million for the National Institute of Standards and Technology (NIST), including \$180 million for a competitive research facilities construction program; \$280 million for National Oceanic and Atmospheric Administration (NOAA) research; and \$400 million and \$150 million, respectively, for NASA science and aeronautics programs.

This funding represents a remarkable injection of support for science agencies that is critical to UC's research mission. UC researchers have been tremendously successful in acquiring ARRA research-related funding. As of February 2010, the ten UC campuses and Berkeley Lab have received more than \$837 million in ARRA funds which are helping to fund more than 1,500 grants. UC researchers have received more than \$286 million in ARRA research funding from DOE, \$285 million from NIH and \$185 million from NSF.

Healthcare

ARRA included numerous provisions relating to biomedical research (as noted above), medical education training and clinical care, the three key components of the UC Health System's prescribed mission. On the clinical side, ARRA included \$87 billion to increase the Medicaid Federal Matching Assistance Percentage (FMAP) for states. These funds increased Medicaid payments to the medical centers by \$60 million in FY 2008-09 and \$55 million in FY 2009-10. ARRA also included a temporary 2.5% increase in Medicaid Disproportionate Share Hospital

(DSH) payments translating into an additional \$25 million for California. In addition, ARRA included approximately \$19 billion for health information technology (HIT), including incentives to providers to promote widespread adoption of HIT, and \$1 billion for comparative effectiveness research.

ARRA also ensured that Medicaid reimbursements for medical education training were preserved by extending the existing moratoria on six Medicaid regulations, through June 30, 2009, including the rules on Medicaid payments for graduate medical education, cost limits on public hospitals, provider taxes, and creating a new moratorium on the regulation phasing out the Medicare indirect medical education adjustment for capital costs in the inpatient prospective payment system.

Attached is a brochure the University of California developed, outlining ARRA's impact at UC.

The Federal Budget

Congress is currently working on federal appropriations for FY 2011. On February 1, President Obama released his FY 2011 Budget Request officially launching the beginning of the FY 2011 budget process with the goal of having a final budget at the start of the federal fiscal year on October 1st. Congress has begun holding appropriations hearings and they are expected to continue through the summer. The University's advocacy will continue throughout the legislative process which will encompass much of the remainder of the year.

The President's proposed \$3.6 trillion budget request calls for a 5.7% increase in spending over the FY 2010 budget and includes strong funding for a number of UC priorities including financial aid, education and research.

The University has a strong partnership with the federal government and the University's advocacy will continue on a variety of diverse issue areas throughout the budget process. Key appropriations and policy issues that the University will be advocating for include, but are not limited to:

- Federal student financial aid, including Pell Grants, student loans, Perkins Loans, Supplemental Educational Opportunity Grant (SEOG), the Federal Work Study program and TRIO and GEAR UP Programs;
- Support for Teacher Preparation, Graduate Education, STEM education, the National Endowment of the Humanities and a number of tax related provisions;
- Strong research funding at the National Institutes of Health, National Science Foundation, NASA, National Institute of Standards and Technology, Department of Defense, NOAA, USDA, U.S. Geological Survey, as well as research funding at the Department of Transportation, the FAA and the Federal Highway Administration; and the US Department of Agriculture. In addition, the University will advocate for strong funding at the Department of Energy including the Office of Science and the National Nuclear Security Administration.

- On the healthcare side, UC will advocate for strong health professions funding as well as an extension in the temporary increase of the Federal Medical Assistance Percentage and an adjustment in the Medicare physician payment's Sustainable Growth Rate.

Federal Legislative and Policy Updates

Federal Support for Higher Education

In October, UC President Mark Yudof released a white paper, *Exploring a New Role for Federal Government in Higher Education*, which outlines the economic challenges facing higher education institutions and calls upon the federal government to bolster its financial commitments to the nation's universities and colleges. President Yudof writes, "An expanded federal role — one that includes support for operating and infrastructure costs — could reduce the seemingly endless pressure on universities to raise tuition and fees, making education more accessible to lower-and middle-income students. It also could increase the capacity of institutions to accommodate a higher percentage of the population."

This white paper challenges Universities and policy makers to reexamine and redesign the federal role in higher education creating an integrated national strategy in the United States. The White Paper highlights five models for increased federal involvement. The models are:

The Pell Grant Approach: New financial support for core university services could be molded from the current Pell Grant concept, rewarding institutions that enroll the neediest students. Universities educating Pell-eligible students might receive supplemental support for core operations as an add-on percentage.

The Research Connection: Under this approach, a supplement could be added to federal research awards and dedicated to the expansion of graduate programs to train the faculty and researchers of the future. Currently, colleges and universities spend \$30.4 billion worth of federal research and development funds each year. An additional 10% devoted to increasing the support for graduate programs at these institutions would generate an additional \$3 billion a year.

The Race to Top Model: The Department of Education is conducting a national competition to allocate \$4.35 billion in "Race to the Top" funds to improve education quality in K-12 school districts across America. A partner program for public colleges and universities could be crafted to allow institutions of higher learning to compete for federal funds based on any number of strategic measurements.

A Theater of Competition: President Obama has proposed funding of \$2.5 billion over five years for a new competitive grant program that will reward creative state efforts to improve college completion rates for low-income students. Institutions should also be allowed to compete for similar grants that would direct funds toward humanities education at research-intensive institutions and other disciplines with less access to federal research dollars.

The Build America Bonds Model: The Build America Bonds (BABs) program, which provides a 35% subsidy on taxable bonds, has opened up new markets for governmental borrowers and

saved millions of dollars in interest costs. The federal government could expand the program for working capital with longer maturity time that could be used for pension obligations. This effectively would provide substantial savings for public universities — savings that could be harnessed to take pressure off operating budgets. As noted below, the Senate and House are working on jobs related legislation. The University is actively working with our California Senators to urge them to include language that would expand BABS to include pension obligation bonds.

UC President Yudof has been in Washington a number of times and spoke directly to policymakers regarding the challenges facing UC and higher education. He has held meetings with Speaker Nancy Pelosi, Senators Feinstein and Boxer, House Education and Labor Committee Chairman George Miller and other members of the California delegation. In addition, President Yudof has spoken at national meetings regarding these issues and has discussed his proposals with members of the Administration, including Education Secretary Duncan and Education Undersecretary Cantor. (Additional information regarding legislative advocacy associated with Build America Bonds can be found below.)

Healthcare Reform

President Obama on March 23 signed the UC supported Patient Protection and Affordable Care Act ([H.R. 3590](#), P.L 111-148), which combined with a separate reconciliation bill ([H.R. 4872](#), P.L. 111-152) will expand health care coverage to an additional 32 million Americans by 2019 and cost \$938 billion over ten years.

Below is a summary of the key legislative provisions of specific interest to the UC Health System:

Coverage Expansion, Individual Mandate, and Employer Responsibility: Expands access to coverage to 32 million individuals by 2019 through a combination of public program expansions and private sector health insurance reforms.

Medicaid: Beginning in 2014, requires all state Medicaid programs to cover individuals up to 133 percent of the federal poverty level (FPL). States will receive federal funds to pay for the newly expanded populations starting with 100 percent federal financing for 2014-2017 and scaled down to 90 percent for 2020 and thereafter.

Medicaid Disproportionate Share Hospital (DSH): Decreases Medicaid DSH payments by \$14 billion with reductions beginning in fiscal year (FY) 2014. DSH reductions are not directly tied to increases in the level of insurance coverage, and the final bill directs the Secretary to develop a methodology for reducing federal DSH allotments to all states in order to achieve the mandated reductions.

Medicare DSH: Decreases Medicare DSH by \$22.1 billion beginning in FY 2014. The final bill would continue to reduce Medicare DSH payments by 75 percent to eliminate DSH payments that are above the "empirically justified" level, as determined by the Medicare Payment Advisory Commission. A portion of the 75 percent would then be returned to hospitals depending on the amount of uncompensated care they provide. This amount is subject to a trigger, and would be phased down if coverage increases.

Hospital Payment Updates: Reduces hospital Medicare payment updates by approximately \$112.6 billion over 10 years.

Readmissions: Beginning in FY 2013, imposes financial penalties on hospitals for so-called "excess" readmissions when compared to "expected" levels of readmissions based on the 30-day readmission measures for heart attack, heart failure and pneumonia that are currently part of the Medicare pay-for-reporting program.

Accountable Care Organizations (ACOs): Beginning in 2012, allows hospitals, in cooperation with physicians, to provide leadership in voluntary ACOs, which would be responsible for managing the care of certain beneficiaries, and allows the Secretary to share some of the savings from improved care management with providers.

Graduate Medical Education: Contains no reductions in IME payments. Redistributes 65 percent of unused residency training positions as a way to encourage increased training of primary care physicians and general surgeons. Qualified hospitals would be able to request up to 75 new slots.

Geographic Variation: Includes \$400 million for payments for FYs 2011 and 2012 to section 1886(d) hospitals located in counties that rank in the lowest quartile for age, sex and race adjusted per enrollee spending for Medicare Parts A and B. Includes a commitment by the Secretary to commission two Institute of Medicine studies and convene a National Summit on geographic variation, cost, access and value in health care. One study will evaluate hospital and physician geographic adjustment factors, looking at their validity as well as the methodology and data used to create them. Allowable changes will be implemented by December of 2012. The second study will examine geographic variation in the volume and intensity of health care services and recommend ways to incorporate quality and value metrics into the Medicare reimbursement system. The Secretary will also convene a National Summit on Geographic Variation, Cost, Access and Value in Health Care later this year.

Pending Post-Reform Federal Legislative and Regulatory Issues of Interest to the UC Health System

Strengthen Health Care Reform & Protect Health Care Safety Net: The UC medical centers are committed to implementing comprehensive health care reform and providing equitable access to affordable, safe, medically necessary, high-quality care. The Patient Protection and Affordable Care Act (PPACA) will cover millions of Californians, and is a strong foundation on which to build lasting reform. However, our medical centers continue to face challenges due to payment shortfalls. With the cost of providing care exceeding Medicare and Medicaid payments, the University is concerned about its ability to continue to support communities and implement reforms. Hospital payment reductions, especially for Medicare and Medicaid disproportionate-share hospitals, must be minimized. Readmission penalties must be limited to those that reflect only avoidable and unplanned readmissions.

Support Extension of Federal Medical Assistance Percentage (FMAP) Funding: In 2009, California hospitals provided more than \$4.6 billion in uncompensated care due to shortfalls in Medicaid payments. With the state budget facing historic deficits, payments are not likely to improve. The increase in FMAP as part of the economic stimulus package has brought vital relief

from budget pressures that threaten the Medicaid program. However, the funding is due to expire December 31, 2010. A six-month extension would mean \$2.3 billion in additional funds for California. With PPACA adding as many as 1.8 million people to California's Medicaid rolls, these funds are more important than ever. Extending the additional FMAP funding for states, through June 2011, is critical to California and the University's ability to implement health care reforms.

Promote Widespread Electronic Health Record (EHR) Adoption: The Centers for Medicare & Medicaid Services (CMS) is establishing an incentive program to provide federal stimulus funds for hospital and physician adoption of certified EHRs that meet CMS' definition of "meaningful use." Unfortunately, CMS has proposed a standard that is too much too soon and excludes many significant providers (such as multi-campus hospitals, Critical Access Hospitals and "hospital-based" physicians). The standard also does not recognize implementation and capacity challenges in the field. The University is working with the California delegation to Modify CMS' "meaningful use" definition to promote policies that encourage widespread EHR adoption.

Stabilize Medicare Payments to our Faculty Physicians: If Congress does not act this year to address the issue, Medicare payment rates for physicians will be cut significantly -- by 21 percent in the remaining months of 2010 and over 40 percent by 2016. This would have a devastating impact on healthcare access throughout our communities. For UC faculty physicians alone, the direct effect of these pending payment reductions is substantial; totaling cuts in 2010 of over \$31 million. Since many other professional agreements are also tied to Medicare rates, indirect losses will account for an additional estimated \$8 million for a total financial impact of approximately \$39 million in 2010.

UC supports replacing the current Medicare physician payment system with a long-term solution that adequately compensates physicians based on such factors as the services provided and the complexity of patients, as well as increased costs due to inflation.

Support Fair Medicare Reimbursements for Hospital Services: The Centers for Medicare and Medicaid Services (CMS) on April 19 released the FY 2011 Medicare hospital inpatient prospective payment system (IPPS) proposed rule. The rule is scheduled to be published in the Federal Register on May 4, and would take effect for discharges on or after October 1, 2010. Under the rule, CMS proposes to update the IPPS market basket by 2.4 percent, but also to make a corresponding "documentation and coding" reduction of 2.9 percentage points. This proposed coding adjustment will result in a negative overall update to the University's academic medical centers' Medicare payment rates. CMS predicts that the net effect of the proposed rule would be to reduce operating and capital payments to acute care hospitals by \$162 million in FY 2011.

Support Adequate and Sustained Federal Funding for Biomedical Research: Adequate and sustained funding for the NIH is critical to the University and the region's economy. California's academic research institutions lead the world in investigating cures for hundreds of diseases that affect billions of people. The University and its counterparts across California are able to accomplish this feat only through federal investment in the NIH. California researchers have consistently earned the largest share of NIH funding. In FY 2007, for example, the NIH

awarded California institutions 7,357 grants, totaling a \$3.16 billion investment in the state's biomedical research industry. Of this total, NIH grants to University of California researchers accounted for approximately half, or 3,971 grants totaling \$1.6 billion in federal funding. The research conducted at California's academic institutions and funded by the federal government helps to provide the seed money that attracts private sector investment and business development and, in turn, helps fuel the region's economy.

Higher Education Update

Education Reconciliation bill

As part of the final healthcare legislation, Congress passed reconciliation legislation which had two primary sections -- one dealing with health care reform measures and the second part with education reconciliation provisions reforming federal student loans. UC supported the education reconciliation provisions.

The education provisions in the reconciliation law require that any new loans originate in the Direct Loan (DL) program administered through the U.S. Department of Education, rather than from the bank-based Federal Family Education Loan (FFEL) program. The nearly \$61 billion in savings resulting from this switch will be used to provide mandatory supplements to the Pell Grant program, raising the maximum award that will be set in the appropriations process, and assuring growth equivalent to the Consumer Price Index (CPI) to adjust for inflation. A small part of the savings was used to expand the Income Based Repayment Program (IBR), which was created to help low-income borrowers who take low-paying jobs, many in the public sector, after they graduate. Under the new law, beginning with new loans made in FY2014, monthly loan payments would not exceed 10 percent of a borrower's income adjusted to allow for basic living costs, and after 20 years of IBR repayments a borrower could qualify for loan forgiveness of the remaining balance. Prior law caps the IBR payments at 15 percent of net income and forgives remaining balances after 25 years.

Jobs bill

Senator Tom Harkin (D-Iowa), introduced the "Keep Our Educators Working Act of 2010," which is legislation that would provide \$23 billion to States to help with pending state shortfalls that threaten to create significant education job cuts later this year. If enacted, the funding would be allocated to states under similar terms of the State Fiscal Stabilization Fund in the American Recovery and Reinvestment Act (ARRA). Early analyses estimate that California would receive about \$2.8 billion, or about 12% of the total. However, while it is unclear how funds would be distributed between K-12 and higher education, UC's initial analyses suggest that little of the funding would come to higher education.

The cuts to K-12 and higher education in California have been substantial, and they are compounded for higher education by the demographic changes that have driven dramatic growth. The year-to-year budget assumptions in the Harkin bill do not match what has happened in California and do not recognize the proportional funding reductions between the sectors. A similar proposal is pending in the House.

UC is working with colleagues and congressional staff to assure that California would receive much-needed federal assistance in this bill and to address a few problems that may be specific to our state budget.

DREAM Act

The Development, Relief and Education for Alien Minors or DREAM Act, a narrowly-tailored, bipartisan measure targeted to certain students who came to the U.S. as children, now has more than 118 co-sponsors. Rep. Howard Berman (D-CA) introduced the House bill, H.R. 1751, and Senator Durbin (D-IL) is the lead sponsor of the Senate bill, S. 729, which has 36 co-sponsors. Both bills would require DREAM beneficiaries to be long-term U.S. residents, have good moral character, and enlist in the military or attend college for at least two years. In exchange, students would earn stabilized immigration status and have the opportunity to pursue postsecondary education.

President Yudof is joining colleagues from a number of universities in signing a letter of support to Senate champions of this legislation urging them to advance the legislation. Federal, state, and grass roots advocacy efforts are ongoing to broaden support for this critical legislation and highlighting activities in support of DREAM from across the country. There is no set date for House or Senate consideration, but supporters are still working to increase the number of co-sponsors of the legislation.

America COMPETES Act

The House Committee on Science and Technology on April 28 approved a five-year reauthorization of the America COMPETES Act (H.R. 5116) by a vote of 29 to 8. The bill reauthorizes programs and funding levels for the National Science Foundation (NSF), the Department of Energy (DOE) Office of Science, and the National Institute of Standards and Technology (NIST). The bill authorizes doubling the agencies' budgets over 10 years, rather than the seven years authorized in 2007 by the original America COMPETES Act.

The bill incorporates amendments related to a number of issues of interest to the research community and higher education communities including diversity in fellowships and research; bricks-and-mortar renovation of academic facilities; sustainability research; green energy; the conduct of ARPA-E research; fossil energy research; fusion research; and the participation of foreign scientists and entities in federally supported research.

In addition, the bill requires the White House Office of Science and Technology Policy (OSTP) to coordinate federal policy on public access to the results of federally funded unclassified research, incorporating a number of recommendations made earlier this year by the Scholarly Publishing Roundtable, a group of experts convened last June by the House Science and Technology Committee, in conjunction with OSTP, to examine the state of scholarly publishing and make recommendations for expanding public access to scholarly journal articles.

Specifically, the bill directs the OSTP director to establish an interagency public access committee to coordinate development of uniform standards for research data, navigation tools,

and other applications to achieve interoperability across federal science agencies and between research data and scholarly publications.

UC worked closely with committee staff, members of the California delegation, and higher education and research associations to urge swift passage of the legislation and to address specific issues of interest to the University within the bill. Researchers made reauthorization of the legislation a key component of their advocacy message during the Coalition for National Science Funding's annual advocacy day that took place on April 14, 2010, and UC signed an Association of American Universities letter to leaders of the House Science and Technology Committee on April 26 urging them to act on a bipartisan reauthorization of the America COMPETES Act as quickly as possible. AAU, the Association of Public and Land-grant Universities (APLU), and the American Council on Education (ACE) sent a similar letter to the committee leaders on April 23. UC will now continue advocacy efforts with the Senate as it begins work on its version of the reauthorization.

The bill passed by the House Science and Technology Committee will now move to the House floor for passage before being considered by the Senate. House Science and Technology Committee chairman, Bart Gordon, has indicated his desire that the full House consider the bill prior to the Memorial Day recess.

Patent Reform Legislation

Patent reform legislation, which would significantly change the United States' patent laws, is still pending in Congress. In March, after negotiations between the staff for Senate Judiciary Committee Chairman Patrick Leahy (D-VT) and Ranking Member Jeff Sessions (R-AL), Senators Leahy and Sessions announced an agreement intended to allow patent reform to proceed forward in the Senate. The announced agreement contained favorable changes to S. 515, the underlying patent bill in the area of allowing for new challenges to patents, and included language to preserve the current law's "or could have raised" estoppel protections for patents in civil actions following administrative proceedings which had been sought as a change by UC and other universities.

The new agreement also preserves the damages language that UC supported when S. 515 passed in the Senate Judiciary Committee. While there are still other areas of potential concern that UC experts would like to see further addressed if opportunities arise, due to the significant improvements in the manager's amendment announced by Leahy and Sessions, UC sent a letter of support for the text of the manager's amendment to Senators Feinstein and Boxer signed by President Yudof in March.

Other stakeholders such as the higher education associations, BIO, the California Healthcare Institute (CHI), and many large companies engaged in manufacturing have also signaled support for the manager's amendment.

At this point, the fate of patent reform is still up in the air and it remains unclear whether patent reform will be enacted this year. There are objections to the Senate manager's amendment being

expressed by the House side and also by high technology companies such as Apple, HP and Intel which are a part of a coalition called the Coalition for Patent Fairness.

UC FGR continues to monitor developments closely and is engaged with California delegation members about the impact of the legislation on UC.

Climate Change Legislation

The House enacted the Waxman-Markey legislation in June 2009 and the Senate Environment and Public Works Committee reported out the Kerry-Boxer legislation in early November 2009. Both bills place a cap on the total CO₂ that can be emitted by industry in a specific year and allows companies that could reduce their emission at lower costs trade those allowances to firms that would have higher costs. By 2050, the caps would require an 83% reduction from their 2050 levels. The remaining allowances would increase in value over time.

What happens to this legislation remains unclear. The possibilities range from moving a less stringent Senate bill, to moving a bill that substitutes the "cap and trade" system for a "cap and dividend" system (the latter returns most or all of the value of the allowances to individuals, rather than to the affected industrial sectors), to simply moving an energy bill like the one reported out by the Senate Energy Committee on a bipartisan basis last year.

The objective of UC and most universities, as reflected in a letter sent to Senate Majority Leader Harry Reid (D-NV) by APLU and AAU, is to have Congress set aside approximately \$5 billion a year (about 7% of the allowances) for basic research and long run development of technologies to address the myriad of problems that need to be solved if our country is to reduce its greenhouse gas emissions by 83% in 40 years at a reasonable cost. The funding would be available on top of funding provided through the annual appropriations process.

At this stage it is unknown if any action will take place on climate change legislation. Without a clear path forward Congress is running out of legislative time to complete action on a bill.

Open Access Legislation

S. 1373, the Federal Research Public Access Act of 2009, was introduced in June and is currently pending in the Senate Committee on Homeland Security and Governmental Affairs. S. 1373 has generated interest and support among libraries and others wanting to promote the expansion of public access policies. S. 1373 would require federal agencies with research budgets of over \$100 million per year to develop public access policies to require research findings funded by the agency, that are published in journal articles, to be made available freely to the public within six months after publication. Federal agencies would also be required to set up repositories to house journal articles; third parties may also be involved with establishing repositories.

The University of California community is supportive of open access principles, and will collaborate with other research universities and national associations to secure passage of federal open access legislation. However, there are aspects of S. 1373 as currently drafted that may raise

concerns for UC and about which – after further analysis – UC may offer specific recommendations for change. Our goal in raising these concerns is to ensure that any bill ultimately adopted by Congress is both workable and effective.

Preliminary issues which we believe merit further discussion and review include:

1. The six-month publication requirement in S. 1373:

Concerns have been expressed about the potential impact of the six-month publication requirement in S. 1373, that is, the requirement that research reports be made available online within six months of publication. The NIH open access policy currently includes a *12-month* publication rule (which would be superseded by S. 1373's six-month requirement). Considerable negotiation went into establishing the NIH open access policy's 12-month publication rule, and a six-month rule was specifically rejected during the NIH deliberations. In addition, concerns have been expressed about the impact of the proposed six-month publication rule on the viability of certain journals. This may be of particular concern for journals with lengthier periods between editions, such as in the humanities and social sciences. We believe that there should be consistency among agencies in the time period requirement, and that a 12-month period may be preferable.

2. Potential inconsistency among federal agency open access policies:

The current language of S. 1373 would allow each federal agency to have broad flexibility in setting up its own open access policies. This could conceivably lead to multiple federal agencies developing separate open access policies, with separate implementation and regulatory structures in place at each agency. A lack of consistency among policies and repositories at federal agencies could lead to compliance and implementation problems for researchers, while increasing administrative burdens and costs. We suggest that the text of S. 1373 be amended, if possible, to require collaboration among federal agencies when public access plans are developed, so that there is consistency in implementation and administrative burdens are minimized.

3. Federal agencies may not be equipped to set up online repositories to implement open access policies:

Most federal agencies (with the exception of the NIH) do not have "PubMed Central" type repositories that would facilitate access to sponsored research. Consideration should be given to the ability and readiness of these agencies to set up repositories and to successfully implement open access policies, particularly since S. 1373 does not authorize any funding for federal agencies to establish and implement the public access policies mandated by the bill. We would support efforts to reduce implementation costs by having federal agencies jointly develop online repositories, or encouraging those agencies to partner with academic institutions that are already familiar with the use of digital technology to facilitate scholarly communication. Unfortunately, S. 1373 lacks language to promote such joint efforts, and does not authorize funding for the development of repositories by federal agencies or third parties such as major research universities. Finally, while it is unclear how the start-up costs of establishing the repositories would be paid, we note with concern that S. 1373 in its present form does not specifically protect the subject federal agencies' research budgets from being diverted to pay for this expense.

Build America Bonds

The Build America Bonds (BABs) program enacted in ARRA has been extremely helpful to universities in providing an alternative to the tax-exempt marketplace for financing long-term capital needs. The President proposed in his FY 2011 budget making the BABs program permanent and allowing the use of these bonds for working capital with a 13 month limitation and for one time refinancing. We support expanding the President's proposal allowing a maturity of up to 10 years for working capital borrowings (including pension obligations) and to allow advance-refunding of BABs, in addition to current-refunding BABs, as in the President's proposal. The ability to finance working capital at a BABs rate would help universities smooth the impact of the budget cuts and cash flow deferrals, and enable them to implement long-term changes to their cost structure.

The House passed HR 4849 that would extend the BABs for 3 years but did not include the President's proposal for working capital or refinancing. The next step in the legislative process is for the Senate Finance Committee to act. UC is working with Senate offices advocating for changes that would provide a financial tool for UC.

UNIVERSITY OF CALIFORNIA

AMERICAN RECOVERY & REINVESTMENT ACT

.....
federal funding at work

At a time when California, like states across the nation, faces real fiscal challenges, the American Recovery and Reinvestment Act has provided an investment that is showing a clear return.

The American Recovery and Reinvestment Act will provide more than \$1.6 billion in federal stimulus funds to the University of California. UC is using this critical support to retain or create thousands of jobs, boost financial aid for students, invest in and sustain groundbreaking research, build and upgrade facilities and train a new generation of workers, scientists and educators.

This federal investment is having real results. The state and nation are gaining from the knowledge our university graduates are bringing to industry and their communities. New businesses and jobs are being started through the research and innovation in our labs, and researchers continue to make life-saving discoveries across California.

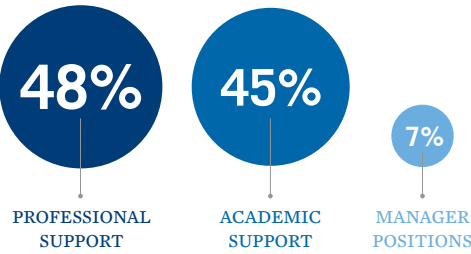


JOBS >>>

ARRA monies via one-time State Fiscal Stabilization Funds (SFSF) allowed UC to maintain support for core operations and offset state budget cuts this year. Those monies covered more than one-fourth of UC's workforce paid from state general funds and, along with ARRA grants for research, helped retain thousands of UC employees. They are teachers, researchers, lab technicians, janitors, counselors, computer programmers, administrators, engineers and more, who are critical to the university's mission of education, research and public service.

\$716.5 Million in SFSF Saved

9,617 JOBS

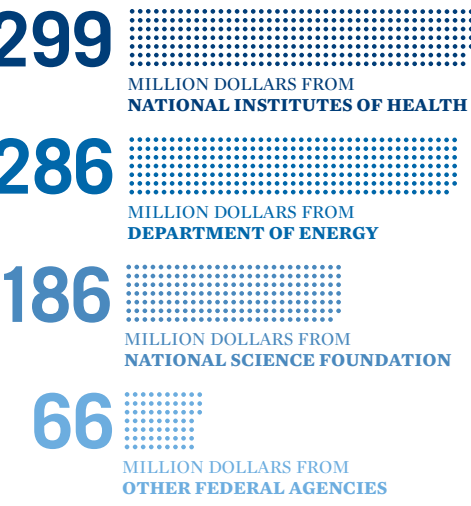


More than 1,400 UC JOBS have been created by ARRA research funding.

RESEARCH >>>

UC researchers received a timely boost from ARRA to study and seek answers to problems ranging from climate change and clean energy to childhood diseases and cancer. And this funding from key science agencies will reap benefits in years and decades to come. UC research generates discoveries, new technologies and cures, as well as inventions, patents and licensing agreements that can help fuel the economy and create additional jobs. UC is the training ground for the next generation of innovators, who will turn ideas into solutions to some of the greatest scientific and technological challenges facing our state and nation.

\$837 Million = 1,500 Research Grants



EDUCATION >>>

ARRA is helping UC students and families pay for their education. For low-income students, it provided a \$500 per year increase to the maximum Pell Grant in 2009 and 2010 and boosted funding for the Federal Work-Study program. In addition, the American Opportunity Tax Credit, which was created in ARRA, is benefiting eligible students and parents who pay for required tuition, fees, books and course materials out-of-pocket in 2009 and 2010.

Financial Aid to UC Students

THIRTEEN THOUSAND STUDENTS RECEIVE \$3 MILLION TO \$6 MILLION FROM WORK-STUDY FUNDING.

FIFTY-TWO THOUSAND STUDENTS RECEIVE \$25 MILLION IN ADDITIONAL PELL GRANT FUNDING.

EIGHTY THOUSAND STUDENTS AND FAMILIES ELIGIBLE FOR FEDERAL TAX CREDIT. FEDERAL TAX CREDITS COULD SAVE \$88 MILLION.

INFRASTRUCTURE >>>

Throughout UC, ARRA funds are helping campuses build and modernize research and education facilities. These include laboratories, where researchers and graduate students require the best and newest technology to study biological systems, physics, engineering and more.

Examples of funded projects:

University of California | San Diego: \$12 million from the National Institute of Standards and Technology (NIST) for a Marine Ecosystem Sensing, Observation and Modeling Laboratory at the Scripps Institution of Oceanography, to monitor ocean ecology.

University of California | Santa Barbara: \$19 million from the Department of Energy (DOE) for its Energy Research Center, which will create new technologies for energy efficiency and train a new generation of energy scientists and engineers.

University of California | Merced: \$501,000 from the National Science Foundation (NSF) to renovate the Sierra Nevada Research Institute Wawona Field Station in Yosemite National Park and create an informatics and data visualization center for faculty and student researchers.

UCLA: \$1.9 million from National Institutes of Health (NIH) for the Laboratory of Neuroimaging, which conducts critical brain research that may speed treatments for diseases such as Alzheimer's.

University of California | Berkeley: \$10.9 million from NIST to help construct the Center for Integrated Precision and Quantum Measurement, where individual atoms and molecules can be probed exactly.

UNIVERSITY OF CALIFORNIA

Award Examples

BERKELEY

.....

The Impact of bisphenol A on Children (\$1.5 million, NIH)

Kim Harley, Principal Investigator

This project is one of the first to look at the impact on children of the chemical bisphenol A (BPA), which is found in can liners and plastic water bottles and is causing growing concern around the world. Researchers will look for links between BPA and physical and mental abnormalities.

DAVIS

.....

Autism Research (\$5.1 million, NIH) MIND Institute

New funding will enhance a wide array of studies at one of the nation's leading autism research centers, including evaluating families and children, uncovering the interplay of genetics and the environment, defining subtypes of autism, uncovering early signs of the disorder and developing effective targeted treatments.

IRVINE

.....

New Laser Diagnostics (\$1 million, NIH)

Bruce Tromberg, Principal Investigator

Researchers will develop cost-effective, portable technologies to diagnose medical conditions and monitor patient treatment, including aneurism repair, guiding prostate surgery, measuring burn damage, checking patients during hemodialysis and spotting brain or gut damage in children who suffer from reduced blood flow to organs.

LOS ANGELES

.....

Training Green Energy Leaders (\$3 million, NSF)

Diana Huffaker, Principal Investigator

This award will provide fellowships for Ph.D. students studying the interface of science, business and public policies of green technology. It is the only fellowship program of its kind in the Los Angeles area, and its goal is to boost the clean-tech economy and create green collar jobs.

MERCED

.....

Monitoring and Predicting Water Quality (\$395,000, NSF)

Thomas Harmon, Principal Investigator

Scientists will test a remote sensing tool (hyperspectral imaging) to observe water quality in aquatic systems. The work will begin in the lab and extend to reservoirs and streams in the San Joaquin Valley and southern Sierra, where the powerful sensor also will help researchers understand environmental problems.

RIVERSIDE

.....

STEM Teaching Scholarships (\$887,000, NSF)

Pamela Clute, Principal Investigator

To tackle the shortage of math and science teachers in California, the UC Riverside Noyce Scholarship STEM program prepares undergraduates to be outstanding secondary school teachers, especially in urban schools. In addition to normal coursework, students conduct summer research and work toward their K-12 teaching credentials.

SAN DIEGO

.....

Cyberinfrastructure for Cancer Research (\$2.6 million, NIH)

Kevin Patrick, Principal Investigator

The CYCORE project for cancer research will allow scientists to collect and interpret a variety of data to compare the effectiveness of preventative measures, drugs and interventions. It will aggregate data from clinical trials, patient records and more so that researchers may better evaluate benefits, risks and costs of treatments.

SAN FRANCISCO

.....

Preventing Lung Disease in Babies (\$1.7 million, NIH)

Roberta Anderson, Principal Investigator

Researchers will conduct clinical trials of a new therapy for bronchopulmonary dysplasia, a lung disease that strikes some 30,000 infants in the U.S. every year. The research has the potential to decrease chronic infant lung disease and asthma and reduce health care costs for premature infants.

SANTA BARBARA

.....

Oceans and Climate Change (\$705,000, NSF)

Uta Passow, Principal Investigator

In a study that helps prepare for and manage future climate changes, researchers will investigate the impact of ocean acidification on the biological processes that transport carbon from the water surface into the deeper layers of the ocean. The project also builds collaborations between U.S. and European scientists.

SANTA CRUZ

.....

Integrative Genomics (\$1.2 million, NSF)

Joshua Stuart, Principal Investigator

This CAREER award, the NSF's most prestigious for young faculty, will fund studies of gene interactions in cells that lead to diseases like cancer. It also supports the UC Santa Cruz Interaction Browser, which provides researchers around the world with free access to a wide database of genetic interactions.

LAWRENCE BERKELEY LAB

.....

Building World's Fastest Computer Network (\$62 million, DOE) Advanced Networking Initiative

To help scientists who rely on supercomputers to manage and share mountains of data with collaborators around the world, EsNet—the DOE's high-performance networking facility—plans to develop the world's fastest computer network. It will connect supercomputer centers at speeds 10 times faster than current technology.

“American Recovery and Reinvestment Act funding is having a positive effect across the University of California system. With more than \$837 million in ARRA research funding, UC researchers are working to solve some of the great scientific and technological challenges facing our country. ARRA funds will also support our efforts to ensure a quality and affordable education and to create and retain jobs.”

Mark G. Yudof
President, University of California

ARRA RESEARCH FUNDING AT UC

LOCATION	GRANT AWARDS	DOLLARS AWARDED IN MILLIONS
Berkeley	128	\$58
Davis	169	\$82
Irvine	114	\$45
Los Angeles	258	\$114
Merced	9	\$3.6
Riverside	41	\$11.4
San Diego	219	\$133
San Francisco	207	\$72.5
Santa Barbara	51	\$37
Santa Cruz	337	\$18.3
LBNL	39	\$263
All	1,572	\$837.8 Million

* Self-reported by campuses as of Dec. 30, 2009

LBNL figures include significant funding for research infrastructure upgrades of buildings and major laboratory equipment, in addition to supporting a broad array of science research programs.

21. RESEARCH

Research Mission

The University of California is one of the leading academic research enterprises in the United States. UC's outstanding graduate students, postdoctoral scholars, faculty, and professional research staff work diligently in the name of science and progress to advance basic research, creating the foundation for the medical breakthroughs, innovative solutions, cutting-edge technologies, and thriving industries for which California is renowned. This quest for knowledge drives the search for new ideas, models and policies, while creating and training the next generation of innovative thinkers. UC researchers are working on understanding issues critical to Californians, finding better ways to fight drought, wildfires, and earthquakes; reduce traffic and greenhouse gas emissions; improve public health; and identify sustainable sources of energy. With over 800 research centers, institutes, laboratories and programs conducting over \$4.9 billion in research projects, UC research extends across its diverse campuses and disciplines to tackle some of the most pressing problems facing California and the world today.

UC's research enterprise is the result of California's long-term planning and investment, dating back to 1960 and the Master Plan for Higher Education, which established UC as the State's primary academic research institution. Over time, this investment has resulted in new discoveries, technologies, companies, and industries - all happening in California. UC trains the highly skilled scientists, doctors, and engineers who shape California's knowledge economy and support its large technology, agricultural, and medical sectors. UC has been an effective and efficient steward of the funding California has invested, creating one of the most competitive and productive research enterprises in the nation, and securing more than \$5 in federal and private research funding for every dollar the State provides.

UC's research capabilities, built over many years, reflect a long-term investment and will not disappear overnight. However, after two decades of diminishing state support for higher education, and with increasing competition for the best faculty and graduate students from national and international universities, UC's preeminence may begin to wane in just a few years. To sustain the research enterprise at UC and its beneficial impact on the state economy, California must renew its investments in UC's faculty and the University's research infrastructure.

Research Funding

In FY 2008-09, UC campuses received over \$4.9 billion in contract and grant funding. Federal government sources provided almost \$2.9 billion of these funds. State and local governments provided almost \$580 million; industry and private nonprofits provided over \$900 million; and \$400 million came from academia and other sources.

All UC locations experienced a major influx of American Recovery and Reinvestment Act (ARRA) research and development (R&D) funds during the first quarter of FY 2009-10. As of February 2010, the ten UC campuses and Berkeley Lab have received more than \$837 million in

ARRA funds which are helping to fund more than 1,500 grants. UC researchers have received more than \$286 million in ARRA research funding from DOE, \$285 million from NIH and \$185 million from NSF. UC is on track to receive a total of about \$825M in ARRA research funds, in addition to over \$250M to Lawrence Berkeley National Laboratory for infrastructure development.

Research Programs

The University of California is home to a wide range of world class research programs, both systemwide and campus-specific, including programs devoted to research in the following areas:

Health: The University of California improves the health of the state's citizens through health sciences research, medical training, and patient care. The University of California has the largest system of health sciences research and training in the nation. It includes five schools of medicine in addition to schools of public health, nursing, dentistry, pharmacy; a school of veterinary medicine; and a school of optometry. More than 14,000 students are enrolled at these schools and approximately 60% of all medical students in California are enrolled in UC schools of medicine. Their exposure to the latest medical research will help them provide the highest standard of care for their patients.

UC campuses are home to more than 230 specialized bioscience research centers, and many of the research discoveries and advances made at these centers are subsequently put to commercial uses by California's biosciences industry leaders, tested in UC clinical research trials, and incorporated into patient care.

UC researchers and medical staff pursue basic science research into the causes and events of cancer's progression; clinical research to translate new knowledge into viable treatments; sensitive, state-of-the-art patient care; and programs in epidemiology, prevention, and cancer control. Basic scientists and clinical health care providers work together toward the translation of promising ideas into the creation of new and better treatments for cancer patients everywhere.

Today, UC's role in health research and the prevention and treatment of disease includes programs that target state priorities for health issues in California, such as developing improved access to care and treatment, understanding and addressing environmental health risks; and seeking potential cures and exploring new and better ways to address HIV/AIDS, breast cancer and tobacco-related diseases that are responsible for substantial human suffering and staggering financial costs.

Californians and others around the world benefit from the medical advancements pioneered by UC. These include lung surfactant that helps premature babies breathe and diagnostic tools such as Magnetic Resonance Imaging. UC medical advances not only save lives – they reduce the cost of treatment.

Biotechnology: UC research has played a crucial role in the development of some of the state's most successful industries. The modern biotechnology industry was born from the discovery of recombinant DNA technology by scientists at UC San Francisco and Stanford. Since then, UC

faculty and alumni have founded one in every four biotech companies in California, and have helped make our state home to approximately one-third of the U.S. biotech industry. The California biotech industry has grown to employ more than 40,000 people and accounts for nearly half of the industry's annual sales.

Agriculture: For many decades UC has worked closely with California's agricultural industry. In the late 1800s, UC researchers discovered how to remove salts from the soils of California's Central Valley, turning what was once barren alkaline land into the most productive agricultural region in the world. Since then, UC has remained committed to supporting the industry by bringing to bear new technologies in crop management and pest control, and helping it adapt to changing regulations while remaining competitive. (See Section 23 for more on UC's Agriculture and Natural Resources programs.)

Computers and telecommunications: UC researchers are at the forefront of advances in computing, semiconductor manufacturing and telecommunications. UC scientists and graduate students have developed faster, cheaper approaches to computer design that have benefited US computer manufacturing. Today, UC researchers are working to create a computer so sophisticated that it will be able to simulate the billions of cellular functions of the human heart, enabling future doctors to more precisely diagnose and treat heart disease.

The supercomputer at UC San Diego can perform one trillion calculations per second –what it would take a computer 15 months to do, the supercomputer can do in 11 hours. UC Berkeley researchers developed a new transistor – the building block of the chip – that can hold 400 times more data than previous devices. University laboratories pioneered the laser and fiber optic research that has spurred the growth of the telecommunications boom.

UC researchers have also contributed to the semiconductor and communications industries through new company formation. Recent studies have shown that one in six California semiconductor companies and one out of four California communications companies were founded by UC researchers.

UC's Research Mission is Tied to Its Education Mission

The University's research mission enriches and enhances both the graduate and undergraduate educational experience as well. Every year, thousands of UC undergraduates are exposed to the cutting-edge research being done at UC through research internships, projects, scholarship programs, and seminars. UC's one million alumni have gone on to become teachers, designers and writers, justices and jurists, engineers and architects, and renowned scientists.

UC undergraduates are responsible for editing and overseeing production of four professional-quality journals devoted exclusively to publishing results of undergraduate research. UC is awarded approximately 30 grants annually from the National Science Foundation's *Research Experiences for Undergraduates Program*. This federal program allows hundreds of California students to work with faculty researchers on diverse research programs that range from studying the wheat genome to developing artificial intelligence.

Research is the heart of graduate student education, and UC's graduate programs are nationally recognized. Of the 229 UC doctoral programs evaluated by the National Research Council, more than half are ranked in the top 20 in their fields, and more than one-third are in the top 10.

UC research includes exploring culture and the humanities. Both faculty and graduate students have played a vital role in advancing arts and humanities research, including creating new training models for school districts and nonprofit agencies and seeking ways to improve math and science education. Nationally known for turning out talented writers and poets, UC Irvine's creative writing program counts three recent Pulitzer Prize winners among the program's alumni – Yusef Komunyakaa (1994), Richard Ford (1996), and Michael Chabon (2001).

The Research Infrastructure

A critical aspect of UC's research enterprise is the quality of research facilities, many of which were financed using California state bonds. The California Institutes for Science and Innovation, four world class centers of research excellence, were built with state support and hold the promise of returning California to the cutting edge of engineering and technology. Since 2003, four UC campuses have won roughly \$80 million in major facilities grants from the California Institute of Regenerative Medicine (CIRM), a state bond-funded award mechanism to support stem cell research. These newer facilities, along with older, state-funded research facilities, enable UC researchers to conduct cutting-edge research supported by extramural funds. Without continued support for UC research facilities, faculty will be less competitive for extramural funds and the research enterprise will suffer in both the short and long term.

Human capital is also an important feature of the UC research enterprise; these exceptional graduate students, postdoctoral scholars, professional researchers, and specialists are supported largely by state funds. Currently, UC trains nearly 10,000 graduate student researchers and employs or hosts over 6,000 postdoctoral scholars, exclusive of health science interns and residents. Funding for graduate enrollment growth helps expand this pool of individuals who engage in and support research with faculty members.

Unfortunately, state support for the University and its research programs is declining at a time when global competition is increasing, raising concerns about the ability of California's knowledge-based economy to maintain its competitive edge. The cost of doing cutting-edge research in science and engineering is rising, and research connected to economic competitiveness increasingly requires large interdisciplinary research teams that depend on more infrastructure. The costs of compliance with evolving, complex state and federal regulations and related extramural research contract and grant requirements have risen rapidly, yet core support for the University's administrative research staff and infrastructure has not kept pace with the amount of funded research.

Research and the Economy

UC research has contributed to the State of California becoming the intellectual and economic power that it is today. Almost all of the industries in which California leads the world – biotech, telecommunications, digital media, computers and semi-conductors, and environmental

technologies – grew out of university-based research. UC’s world class faculty have attracted and trained graduates that make up one of the world’s best-educated workforces to meet the demands of the changing economy. In addition, UC researchers have made discoveries and inventions that have benefited the people and industries of California and, in many cases, become the basis for companies that provide jobs for Californians.

UC is an important generator of ideas and technologies, which can be measured in part by the number of inventions created, patented, and licensed by UC researchers with University resources. For the past 12 years, UC has led the nation in developing patents, and its faculty and graduates are responsible for close to 9,000 active inventions (as of June 30, 2008). During the 12-month period ending June 30, 2008 alone, faculty and researchers at the ten UC campuses disclosed a total of 1,497 inventions, a 6% increase over the previous year. A portion of these inventions are patented and licensed to companies that develop UC’s inventions into processes and products that enhance the lives of Californians.

As the foundation for start-up firms, many technologies developed in the UC system also serve as an important engine for economic growth. 461 companies (as of June 30th, 2009) were founded based on technologies invented at UC since the passage of the Bayh-Dole Act in 1980, which permitted universities and small businesses exclusive licensing of inventions arising from federally-funded research when combined with development and transfer of an invention to the marketplace for the public good. These businesses provide tax revenue streams for the state as well as jobs for the people of California. It is projected that UC will have had a hand in creating more than 2 million California jobs this decade (2002-11).

Forty-six of the independent companies founded on UC technologies were within the critical areas of climate change, energy, sustainable water, and healthcare delivery. This includes four companies in climate change and environment, 24 in the areas of sustainable energy and energy efficiency, two in developing a more sustainable water supply, and 16 in the areas of health care delivery. As these issues gain national attention, UC will play a key role in attracting funding, making new discoveries, and building new industries around its research.

Multicampus Research Units

With only relatively modest budgets, typically in the range of \$30,000 to \$1.5 million, the University’s Multicampus Research Program Initiatives (MRPIs) dynamically link the work of the ten campuses and three national labs into a network of shared information, resources, dissemination, and public engagement. MRPIs provide seed funding on a peer-reviewed basis for innovative research, provide support for graduate student traineeships, and work directly with state agencies to disseminate the expertise of the UC faculty and their research. Among these are:

- a new UC transportation research initiative that will team UC researchers from more than 30 disciplines on six UC campuses to work on reducing congestion, oil use, air pollution, and greenhouse gas emissions;
- the newly-launched Center for Hydrologic Modeling that will link researchers at eight UC campuses and the three national labs to forecast how water availability will shrink because of climate change and diminishing snowpack;

- the California Advanced Solar Technologies Institutes – a new initiative focused on the next generation of solar energy. Researchers at Merced, Berkeley, and Santa Barbara will use nanotechnology and non-imaging optics to develop new solar cell materials and methods to cool and heat buildings or generate electricity;
- a new program, Collaborative Research for an Equitable California, that will bring UC researchers together with community organizers and policymakers to tackle the state's interconnected crises in education, employment, health, nutrition, housing, and the environment, researching how disparities and inequities in these areas are linked.

California Institutes for Science and Innovation

In 2000, Governor Davis announced the creation of the California Institutes for Science and Innovation – an unprecedented three-way partnership between UC, the State of California, and private industry designed to stimulate innovation in fields critical to the nation's economic future, including information technology, early medical diagnostic research, and nanosystem technology. This initiative leveraged state funding by challenging industry and the University of California to match every dollar provided by the state with at least two dollars in non-state funding within four years. Matching funds from industry, private sector organizations and individuals, and federal agencies are supporting targeted research and education activities.

Each institute focuses on a research field key to the future of California's economy, bringing together UC's world-class scientists and students with industry researchers in a cooperative research and education effort that will produce both new knowledge and the next generation of scientists and technological innovators. These institutes will further expand opportunities for our undergraduates to participate in cutting-edge research.

The California Institutes for Science and Innovation will undertake basic, multidisciplinary research on complex problems requiring the kind of scope, scale, duration, equipment, and facilities that they uniquely provide. The cooperative UC-industry effort will speed the delivery of public benefits through new products, technologies, services and jobs. The four institutes are:

- The California NanoSystems Institute (CNSI), at UCLA in collaboration with UC Santa Barbara, is poised at the leading edge of major scientific breakthroughs that enable design and construction of an entirely new generation of functional devices and materials by controlling the smallest elements, at the level of individual molecules.
- The California Institute for Telecommunications and Information Technology (Calit2), at UC San Diego in collaboration with UC Irvine, is developing and deploying communications networks that serve communities and regions of the state and radically expand the capacities of communications and information infrastructures.
- The California Institute for Bioengineering, Biotechnology and Quantitative Biomedicine (QB3), at UC San Francisco in collaboration with UC Berkeley and UC Santa Cruz, brings together scientists in biomedical research, engineering, and physical sciences in collaborative research efforts that are driving the next stage of the Human Genome Project into medicine and healthcare delivery.

- The Center for Information Technology Research in the Interest of Society (CITRIS) at UC Berkeley in collaboration with the Davis, Santa Cruz and Merced campuses, is aggressively harnessing information from broad spectrum sources to enable decision makers to tackle society's most critical needs in energy, transportation, seismic safety, education, healthcare, farming, and the environment.

More information about UC research is also available at: <http://www.ucop.edu/research/>.

22. ACADEMIC MEDICAL CENTERS AND HEALTH SCIENCES EDUCATION

UC operates the nation's largest health science and medical training program, with more than 14,000 students annually enrolled in 16 schools located on seven UC campuses. These include five schools of medicine, three schools of nursing, two schools each of dentistry, pharmacy and public health, and one school each of optometry and veterinary medicine. UC operates the state's fourth-largest health care system, with more than 4,900 faculty physicians. Including residents, nurses, technicians and health administrators, UC employs more than 34,000 health care professionals and staff. The University of California provides an unmatched combination of integrated patient care, research, and health professions education and has a major impact on the health of Californians. UC provides the most advanced medical care available, teaches the health professionals who will deliver health care throughout the state, translates medical discoveries into new treatments, and cares for a large portion of the state's uninsured.

Community Health Programs

UC works directly in communities throughout the state to improve the health of its citizens, especially for the more than 6.6 million Californians who do not have health insurance. To address the need for increased access to healthcare, UC's community clinics and health programs utilize a variety of innovative tools such as providing a mammography van to do outreach in beauty parlors, partnering with homeless clinics, offering medical training programs in the Central Valley, and other programs to provide care to communities in need. UC-affiliated clinics frequently serve underserved populations – non-English-speaking residents, the elderly, African Americans, military veterans, immigrants – or target specific health care issues, such as Alzheimer's, HIV/AIDS, diabetes, and other chronic illnesses. UC programs offer the full spectrum of health care services for Californians of all ages, with prenatal, pediatric and geriatric services located in communities around the state.

UC Telemedicine

California has been a national leader in telehealth and telemedicine for years, and two major initiatives currently underway expand the use of these technologies and expertise throughout the state. The first of these is the California Telehealth Network (CTN), funded by the Federal Communications Commission (FCC). The FCC and private matching funds are providing more than \$30 million for CTN to create broadband connectivity to hundreds of primarily rural healthcare facilities throughout California. At the request of the Governor, the UC Office of the President and UC Davis submitted the proposal to the FCC and now co-manage the implementation of the CTN on behalf of a statewide coalition of government, non-profit and other stakeholders. Funding for staffing and on-going operation of the CTN remains an issue. The second telehealth initiative is funded under Proposition 1D (2006), which authorizes \$200 million for "capital improvements to expand medical education programs with an emphasis on telemedicine aimed at developing high-tech approaches to health care". This funding will enable expansion of existing telemedicine programs at UC to provide facilities and state-of-the-art equipment needed to expand the use of telemedicine across the state. The initial allocations from

Prop 1D are being distributed to each UC medical school, allowing the development of new infrastructure for teaching and clinical care, including video conferencing, interactive teaching, and systemwide networking. The second phase involved the inclusion of longstanding partners in medical education (e.g., UC Riverside, Charles R. Drew University, UCSF-Fresno Medical Education Program, and UC Merced), including the creation of a new videoconferencing network linking our health sciences campuses as a system for the first time in history. UC also plans to dedicate \$10 million of the funds for the purchase of telemedicine equipment that will be leased long-term to community-based healthcare facilities that will be connected under the CTN project.

Health Programs in the Central Valley

Several UC programs from the Davis, Irvine, Los Angeles, San Diego, and San Francisco campuses play substantial roles in providing health care services to Central Valley residents and training medical professionals in the Valley. About 40 to 50% of the doctors trained locally stay in the area to practice.

Senior Health

This year, the first of the 80 million members of the “baby boom” generation will turn 65. The implications of an increasingly aged population for patterns of disability and the spiraling cost of health care and nursing home care are staggering. California ranks first in the nation in the number of elderly residents. It is anticipated that this age group will double in size by the year 2020, comprising 15.5% of the state’s population. UC is helping to address the health care needs of the rapidly growing population of older citizens in California by developing, implementing, and evaluating programs designed to educate and train geriatric health care providers in the multiple disciplines that care for the elderly. Innovative programs are implemented through each of the UC’s six Academic Geriatric Resource Centers (AGRCs) at Berkeley, Davis, Irvine, Los Angeles, San Diego, and San Francisco, and through special UC systemwide initiatives.

Academic Medical Centers

UC’s five academic medical centers – operated by the Davis, Irvine, Los Angeles, San Diego, and San Francisco campuses – provide highly specialized health care services while supporting the clinical teaching programs of the five schools of medicine and the educational programs in the University’s other health sciences schools.

The UC academic medical centers provide patient-care services valued at over \$5 billion annually. In 2008-09, the University medical centers had a combined licensed capacity of 3,156 beds. The medical centers had more than 862,000 patient days, roughly 141,000 admissions, and more than 3.7 million outpatient visits. The University’s medical centers are the largest single provider of specialty services and medical procedures in the state. Critical community-wide services, which are often unavailable elsewhere, are provided – including burn and cancer centers; high-risk obstetrics programs; neonatal intensive care units; cardiac care; and organ transplant programs. The UC medical centers operate Level I trauma centers in four of their five

regions and provide the physician staff to San Francisco County's General Hospital, including its Level I trauma center.

UC medical centers are uniquely situated to provide specialty care and, as a result, they attract a complex and costly patient population. It is not surprising then that the Medicaid patients treated in UC medical centers have illnesses that are 50% more severe than the statewide average. UC medical centers treat and manage complex medical conditions. While the mix of patients varies across the five medical centers, the UC health facilities are a critical component of California's health-care safety net; the medical centers are a major provider of hospital care to elderly, uninsured, and under-insured patients. At the Davis, Irvine, and San Diego medical centers, over 37% of patients receive Medicaid or are medically indigent patients. At all five medical centers, Medicare, Medicaid, and uninsured patients comprise nearly 58% of all patients.

In 2009-10, UCLA ranked third and UC San Francisco seventh in *U.S. News & World Report's* annual "America's Best Hospitals" survey – the only two California hospitals in the top 10 rankings. Additionally, four UC medical centers were named in the *U.S. News & World Report* for excellence in a specialty field.

Several factors have converged in recent years to put severe financial strain on the UC academic medical centers. These include: (1) the escalating costs of medical education in clinical settings; (2) Medi-Cal and Medicare reimbursements; (3) changes in the HMO environment that have limited the ability of medical centers to shift resources to cover educational costs; and (4) higher costs in the areas of labor (particularly nursing staff), pharmaceuticals, and other medical supplies. UC medical centers and teaching programs are frequently involved in the care of patients with severe illness or injury. Many of these patients are underinsured or entirely without health insurance, resulting in added expense due to uncompensated health care costs. These and other market-driven changes underscore the need to identify stable long-term funding mechanisms for medical education and other health sciences clinical training programs.

Health Science Professions Education

Health Professions Schools: UC graduates more medical doctors than any other institution in California. Approximately 60% of all medical students enrolled in California medical schools are at UC, and nearly half of all medical residents in the state are trained in UC programs. UC's role in residency training is also very important because approximately 70% of physicians in California residency programs continue to practice in the same area of the state following the completion of residency. Three UC medical schools (UCSF, UCLA, and UCSD) are in the top twelve Schools of Medicine for NIH funding – a crucial research investment in California. The Schools of Nursing at UCSF and UCLA are highly ranked (in the top 12 in the nation) and remain focused on its role in training new nursing faculty that are urgently needed to train nursing students in undergraduate/graduate nursing programs throughout the state. In 2009, the UC Board of Regents established the Betty Irene Moore School of Nursing at UC Davis; UC Irvine's nursing program is working towards school status. UC's Schools of Pharmacy are highly ranked nationally by *U.S. News and World Report* and by NIH research funding earned, with UCSF's school ranked first in both categories. The Schools of Dentistry at UC consistently rank among the country's top dental schools in NIH funding, with UCSF ranked first in 2008. UC's Schools of Public Health at UCLA and UC Berkeley, both rated top ten nationally, train

professionals who tackle health issues with broad implications, including those related to tobacco use, heart disease, obesity, as well as the threat of globally spreading infectious diseases. The UC Berkeley School of Optometry earns more competitively awarded NIH research funding than any other optometry school in the country. The UC Davis School of Veterinary Medicine is California's only public accredited veterinary school and one of the largest public programs in the nation. It partners with agriculture, public health, and environmental agencies to maximize the state's efforts to protect pets, livestock and wildlife.

Enrollment Growth Needs: California's population growth has outpaced the capacity of UC's health professions schools to meet the healthcare workforce needs of the state, particularly with regard to medicine, nursing, public health, pharmacy and veterinary medicine. To address these health workforce shortages, UC conducted a comprehensive needs assessment and developed an enrollment plan, *A Compelling Case for Growth*, which provides a roadmap with recommended annual targets for growth by profession through the year 2020. This report is available on-line at: http://www.ucop.edu/hss/documents/rprt_jan2007.pdf

Programs In Medical Education (PRIME): The UC system is growing and changing through the creation of new programs that will increase total medical student enrollment in new and unprecedented ways. The first phase of growth for all UC medical schools is occurring through the implementation of new "Programs in Medical Education" (PRIME). These programs are five-year (M.D. and Master's degree) programs offering specialized education, training and support for students who wish to acquire added skill and expertise as they pursue careers caring for people who suffer disproportionate disease burdens. Individually and collectively, these programs seek to address the needs of California's underserved populations in both rural communities and urban areas. Each new program has an area of focus that is selected based upon faculty expertise, the populations served by each school and its medical center, and other local considerations. Each continues to develop and improve its guidelines for admission and recruitment of students, and its new curriculum to prepare students as future leaders, clinicians, and advocates for the communities they will serve. UC Irvine's PRIME program, focused on the growing needs of the Latino community, was the first to begin in 2004, and graduated its first class of students in spring 2009.

Plans for New UC Medical Education Programs:

UC Riverside – Inland Empire

The UC Board of Regents in July 2008 approved the establishment of a new UC Riverside School of Medicine, with the enrollment of students contingent upon the availability of adequate resources for start-up and operations. UC Riverside is working towards enrolling its first group of students in the new school in fall 2012, and recently named a founding dean for the School of Medicine.

UC Merced – Central Valley

To support development of academic capability in the health sciences, plans are underway for the development of a new medical education program currently envisioned in partnership with UC Davis as the sponsoring medical school. Clinical training is proposed to take place in Fresno. Merced is also broadening its research capacity and expanding opportunities to

encourage increased interest in health careers among UC Merced undergraduates, including development of a new public health minor.

Academic Preparation Programs for the Health Sciences: UC's health sciences professions schools support efforts to recruit students from communities and populations that are underserved and underrepresented in the health professions. These efforts include outreach programs designed to strengthen each level of the educational pipeline – K-12, undergraduate, and post-baccalaureate – to prepare students to enter the health professions.

UC and Charles R. Drew University of Medicine and Science (CDU). CDU is a private, nonprofit corporation with its own Board of Trustees. CDU conducts educational and research programs in south central Los Angeles. One of UC's efforts to enhance California's capacity to train a healthcare workforce that serves the needs of our diverse state is through its longstanding partnership with CDU. Since 1973, the State has appropriated funds to UC to support a medical student education program operated by the UCLA campus in conjunction with CDU.

Primary Care Training and Education: While UC medical centers are widely recognized as leaders in biomedical research and in the provision of highly specialized patient services, UC also has a distinguished record of achievement in primary care education. Since the mid 1990's, UC has increased its emphasis on primary care education for its medical students and expanded training opportunities in areas such as family practice, internal medicine, and pediatrics. Elements of that effort also include allocation of new resources to support expansion of outreach programs dedicated to increasing the diversity of the pool of students interested in pursuing medical careers; dedication of new resources to support first-year medical students wishing to participate in summer preceptorships with family physicians; and growth in the number of training positions in UC and UC-affiliated family practice and other primary care residency programs. The *U.S. News and World Report* ranks four UC schools (San Francisco, San Diego, Los Angeles, and Davis) among the 35 top primary care medical schools in the nation, based upon academic reputation, student selectivity, quality of faculty, and other factors.

Funding Healthcare for Medicare, Medi-Cal and Low-Income Patients

Patients at the UC academic medical centers include those who are enrolled in government-sponsored health care programs (i.e., Medicare and Medi-Cal), as well as those who are privately insured or self-pay patients. Several government-sponsored programs provide supplemental payments to the UC medical centers in recognition of their teaching mission and because they provide a disproportionate share of care to the state's indigent population.

In 2008-09, Medicare patient inpatient days represented 26% of total patient days. The Medicare program generated \$1.2 billion of net operating revenue, accounting for 22% of the total net patient revenue of the UC medical centers. Because of increasing demands and higher costs, the federal government has been taking steps to slow the growth of Medicare reimbursement. Support of graduate medical education through the Medicare program has come under fire in recent years, thus diminishing financial support for teaching programs. Additionally, changes in Medicare reimbursements for both hospitals and physicians continue to decline as Medicare increasingly ties reimbursement to performance and quality.

In 2008-09, the number of Medi-Cal inpatient days represented 26% of total patient days. The Medi-Cal program generated \$790 million of net patient revenue, accounting for approximately 15% of the total net patient revenue of the UC medical centers. From 2005-06 through the end of the current fiscal year, FY2009-10, a small group of hospitals providing a disproportionate share of health care services to the poor and uninsured received a higher level of supplemental payments under a different model of accessing federal Medicaid payments – the Medi-Cal Hospital Care/Uninsured Hospital Care Demonstration Project (“hospital finance waiver”). The disproportionate share hospitals (“DSH”) participating in this waiver are currently negotiating a renewal of the waiver, this time with a list of stakeholders that is much broader than the hospital community. The total number of individuals eligible for Medi-Cal has significantly increased over the last five years but, there has been no analogous increase in Medi-Cal payment rates. Increases in the number of Medi-Cal recipients, coupled with increased hospital utilization, make the UC academic medical centers more vulnerable to state and federal rate reductions. The renewal of the hospital finance waiver presents an opportunity in the current year to increase current level of funding. It also presents challenges, as the State shifts dollars received from the federal government away from the programs for which they were intended (such as Medi-Cal) and diverts those funds to the reduction of the state’s budget deficit. UC recognizes that Medi-Cal payments will likely not keep pace with cost and utilization growth in the near future.

The Davis, Irvine, and San Diego medical centers, former county hospitals, currently have contracts with their respective counties to provide care to the uninsured. Counties in the State of California reimburse hospitals for certain indigent patients covered under the county contract, using local tax dollars from their general fund to subsidize health care for the indigent. Some spending is required in order to receive the state matching funds, but many counties appropriate additional discretionary funds to cover the costs of serving the uninsured. However, a decade of property tax shifts has severely constrained the ability of local governments to adequately fund health care services to the uninsured. Although there have been measures enacted to mitigate the impacts, i.e., Tobacco Tax (Proposition 99), these efforts have not provided full relief. In addition, the medical centers are vulnerable to declines in county finances, especially during economic downturns.

Martin Luther King Hospital Partnership

The UC Board of Regents voted on November 19, 2009 to approve entering into a partnership agreement with Los Angeles County to create a private, nonprofit corporation that will reopen and run Martin Luther King Jr. Hospital.

UC will provide physician services for a new, 120-bed hospital on the grounds of the old facility. UC and Los Angeles County each will be responsible for appointing directors to serve on the board of the new corporation that will operate the hospital, which is expected to open in phases beginning in late 2012.

The coordination agreement is structured so that UC will not be financially liable for the new entity that will operate MLK Hospital. Los Angeles County will provide funds needed to open the new MLK Hospital and ongoing financial support to ensure its long-term viability. UC will have no financial obligation for the facility.

MLK Hospital, the roots of which date back to the 1965 Watts riots, was closed in August 2007 after a series of troubles that included having federal regulators cut off its Medicare funding. Shortly thereafter, Gov. Arnold Schwarzenegger and Los Angeles County officials approached UC to discuss reopening the hospital, resulting in talks that led to the November agreement.

MLK Hospital will provide care for a medically underserved population. Half of the hospital's patients are expected to be covered by Medi-Cal and about one-third are expected to be uninsured, according to financial assumptions.

Key provisions of the coordination agreement include:

- Los Angeles County will provide funds needed to open the new, seismically compliant 120-bed MLK Hospital and ongoing financial support to ensure its long-term viability, including \$50 million in startup funds, a \$353.8 million capital project commitment and \$63 million a year in operating funds. For the first six years after the hospital has opened, payment of L.A. County's operating funds shall be secured by a \$100 million letter of credit obtained by Los Angeles County from a major lending institution.
- UC will provide no startup, ongoing, or other financial support for the new nonprofit entity that will operate MLK Hospital.
- The hospital, which will include an emergency room and three operating rooms, will address the major health needs of the community – hypertension, heart disease, stroke, diabetes and obesity — by emphasizing medical care and de-emphasizing surgical care. The hospital will become part of a larger clinic/outpatient-based community health care system.
- The nonprofit corporation will have an appointed governing board of seven members — two each appointed by Los Angeles County and the UC president and three jointly appointed by Los Angeles County and the UC president. Board members cannot be current officers or employees of the county or UC and must have at least 10 years of experience in health care or a related field.
- The proposal calls for UC to enter into a contractual agreement with the nonprofit group to provide physician services. Staffing will likely involve roughly 14 to 20 UC-employed physicians, supplemented with community-based physicians from White Memorial and Harbor-UCLA physician groups.
- The corporation, at its own expense, will employ — or contract with a third party other than UC or Los Angeles County — for the non-physician personnel working at the hospital.
- UC will have the primary responsibility to direct and manage efforts to establish teaching activities for medical students, residents, and fellows consistent with accreditation standards and time frames for re-establishing educational programs.
- LA County and UC are working to appoint the 7 member board of NEWCO with expectations that the Board will be in place by the end of June 2010.
- A project leader has been appointed by LA County and the project is on track to have the first 40 beds operating by the last quarter of 2012.
- LA County, UC and the State are pursuing legislation to guarantee a level of medical funding to support the financial model for successful operation of the hospital.

The following is a link to a document describing the Key Elements for a Contract between LA County and UC regarding operations of MLK Community Hospital.

<http://www.universityofcalifornia.edu/regents/regmeet/nov09/h1attach1.pdf>

UC and Prison Health Care

California's prison health care system is under federal receivership. The governor and state lawmakers want to provide better care, reduce costs and end the receivership. An assessment says the state could increase quality and lower costs if it partners with the University of California to provide integrated prison health care. This state-university model has shown success in Georgia, New Jersey and Texas and is being considered in Massachusetts and Michigan.

The assessment by health care company NuPhysicia recommends that UC Health manage California's prison health care services. Recommendations include managing the prison medical programs and hiring physicians, dentists, psychiatrists and potentially pharmacists. At the governor's request, UC leaders have participated in discussions with state officials and NuPhysicia about reforming California's prison health care system, but no agreements have yet been reached. NuPhysicia, a University of Texas spin-off, compiled the assessment at the request of Hanson Bridgett, outside counsel for the California Department of Corrections and Rehabilitation.

California has limited coordination of care among its 33 prison facilities and currently separates management of medical, dental and mental health for prisoners. NuPhysicia's assessment recommends centralizing those services in a phased plan, beginning with 11 facilities in Northern California with 45,000 inmates. This outcome-focused approach could bring all 33 facilities under the new system within two years. The assessment also calls for streamlining administrative staff, expanding telemedicine use, deploying electronic medical records and centralizing pharmacy management, offsite medical management, dialysis services and group purchasing.

Public service to California is an integral part of the UC mission. UC Health, which includes five academic medical centers and 16 professional schools, plays a vital role in California's medical safety net. Prison health care is another opportunity for UC to help the state on an important public service issue. After being approached by the governor, UC agreed in November 2009 to work with Los Angeles County to reopen Martin Luther King Jr. Hospital in underserved south LA in late 2012. UC already provides some telemedicine services to state prisoners.

It is possible for the California prison health care system to increase quality and decrease costs, which currently are \$2.4 billion a year—much higher than what other states spend. UC President Mark Yudof and Senior Vice President John Stobo both have experience in Texas, which was able to improve health care quality and decrease costs by transforming the way health care was delivered within the prison system. Georgia and New Jersey have seen similar improvements. If California undertakes the reforms in the assessment, it could save \$4.3 billion in the first five years and \$12 billion to \$16 billion over 10 years, the NuPhysicia report estimates. Many details

need to be worked out, including labor issues, ensuring protections against liability and determining financial support for any UC involvement.

The UC Board of Regents has formed a special committee to consider what role UC might play in prison health care.

23. AGRICULTURE AND NATURAL RESOURCES

UC Delivers: Bringing the University to the People

The UC Division of Agriculture and Natural Resources (ANR) is a statewide network of researchers and educators dedicated to creating and delivering the innovative, science-based information Californians rely on to produce a safe food supply, advance environmental quality, improve public health and nutrition, and stay competitive in world markets.

- The ANR network is 800 Agricultural Experiment Station scientists and Cooperative Extension specialists on the UC Berkeley, Davis, and Riverside campuses; 225 county-based Cooperative Extension advisors housed in more than 50 local offices; 16 statewide special programs; and 10 research and extension centers.
- UC Cooperative Extension advisors live in local communities, bringing research innovations, new information, and practical solutions from UC directly to the people.

Making a Difference for Agriculture

- For nearly a century, California farmers and ranchers have stayed competitive and sustainable through adopting cutting-edge research, new technologies and innovations, and advanced best management practices developed on UC campuses and in the field.
- As a result, California agriculture is a \$38 billion industry, producing 350 commodities, accounting for 50% of the nation's fresh produce, and generating 1 million jobs.
- Growers have increased yields, improved water efficiency, reduced pesticide loads, become more sustainable, and implemented new food safety practices with UC's help.
- New varieties of strawberries, walnuts, citrus, grapes and other crops have helped California agriculture lead the nation, while improving food quality and nutritional value for consumers (80% of strawberries in the U.S. are UC-patented varieties).

Making a Difference for Communities

- UC's 4-H Youth Development Program serves over 120,000 youth (ages 5-19) through after school, science literacy, and traditional club programs delivered in every county.
- UC-trained Master Gardener volunteers provide landscape professionals, homeowners, and backyard gardeners with research-based information and advice on plant selection, reduced pesticide use, water conservation, and implementing "green" practices.

Making a Difference for Water Supply and Water Quality

- UC researchers and Cooperative Extension advisors are seeking answers and solutions to problems facing the California Delta and the state's water supply – reduced water deliveries to farms in the Central Valley and residents in southern California, declining ecosystems, risk of levee failures, and competing demands for limited supplies.

- UC scientists introduced drip irrigation and other water conservation methods to California – these innovations help agriculture reduce per acre water use, protect natural resources, and farm more efficiently.
- UC is providing dairies in the San Joaquin Valley with science-based tools and practical methods to meet new waste discharge regulations and implement cost-effective nutrient management and monitoring practices on dairy lagoons.

Making a Difference for the Environment and Energy Conservation

- UC is researching and developing more sustainable farming and timber harvest practices to maintain the economic viability of these important business sectors, while improving environmental quality and conserving natural resources.
- Rice growers, with the help of UC scientists, solved a rice straw disposal problem in the Sacramento Valley and created over 100,000 acres of seasonal habitat for migratory waterfowl through research showing benefits of winter flooding of harvested fields.
- Landowners, government agencies, and emergency responders are working closely with UC to develop new tools to predict and control wildfires, reduce risks to wildlife, property, and lives, and speed-up post-fire revegetation.
- Research underway at UC into biofuels, wind, solar power, and other alternative energy sources will help California reduce its dependence on oil and other fossil fuels.
- UC scientists are on the trail for the cure for *Sudden Oak Death*, a pathogen responsible for killing millions of oaks and tanoaks in Northern and Central California.

Making a Difference for Health and Wellness

- At-risk and low-income families are adopting healthier eating habits through “hands-on” training in nutrition, food preparation, money management, and basic shopping skills provided by the UC Expanded Food and Nutrition Education Program.
- Researchers on UC campuses and with Cooperative Extension are making inroads into documenting the relationships between childhood obesity, diabetes and wellness.
- UC acted rapidly and proactively to deploy teams to the Salinas Valley beginning in late 2006 to conduct field research, monitoring, and testing following the food safety and consumer confidence crises tied to *E. coli* contamination of locally grown, leafy greens.

24. UC-MANAGED NATIONAL LABORATORIES

The University of California is involved in managing three U.S. Department of Energy (DOE) National Laboratories. The three Laboratories are unparalleled federally-funded research and development centers whose programs and activities address national interests and concerns in areas such as national and homeland security, energy, environment, and health. The Laboratories also contribute to the nation's economic competitiveness through partnerships with industry, and all are leaders in math and science education, helping to enlighten, educate, and train students and teachers at all levels.

UC began managing

- Lawrence Berkeley National Laboratory (LBNL) in Berkeley, CA for the government in 1931;
- Los Alamos National Laboratory (LANL) in Los Alamos, NM in 1943; and,
- Lawrence Livermore National Laboratory (LLNL) in Livermore, CA in 1952.

As a result of a number of security, safety, and financial incidents that resulted in criticism of both the DOE and UC's management of the Laboratories, Congress directed DOE in 2003 to hold competitions for the Management and Operating contracts for the three Laboratories. There were no competitors for UC's bid for LBNL, and UC was awarded an initial five-year contract in April 2005. Based on strong performance, the University has earned an extension of five years with the potential of an additional extension for up to a total of 20 years through May 2025.

There was one competitor in each of the competitions for LANL and LLNL. UC formed Limited Liability Companies (LLCs) with multiple partners to compete for LANL and LLNL. UC based its decision to compete on the desire to continue to make an important contribution to the nation through bringing scientific excellence to national security research while preserving an environment of objective scientific inquiry and intellectual freedom. Los Alamos National Security, LLC, a UC-Bechtel led team, was awarded an initial seven-year contract in December 2005 to manage LANL. Lawrence Livermore National Security, LLC, also a UC-Bechtel led team, was awarded an initial seven-year contract in May 2007 to manage LLNL. Both LLC-managed Laboratories have earned the maximum potential extensions possible to date: two years for the LANL contract and one for LLNL. The LANL contract is extendable through September 2026; LLNL's through September 2027.

The Management and Operating contracts for the three Laboratories have evolved from firm fixed fee, multi-year contracts to five-year (LBNL) and seven-year (LANL and LLNL) contracts with an award fee based on performance against goals, objectives, and measures to determine the amount of fee earned. Performance results also determine whether DOE will grant one-year contract extensions (to a maximum of 20 years) to each contract.

Laboratory/UC Research Collaboration

All three Laboratories were founded by UC faculty and, as a result, were embedded in the University and its research culture. As a result, collaborations with University faculty and researchers have been integral to the scientific excellence of the Laboratories throughout their history. LBNL displays the greatest integration with the University, sited adjacent to the Berkeley campus. Over 200 LBNL researchers are UC Berkeley faculty members, and over 400 Berkeley graduate and undergraduate students conduct their research at the Laboratory. LLNL, with its proximity to numerous University campuses, has extensive collaborations with faculty across the UC system. It is working to create an “open campus” where unclassified research can be performed in collaboration with university and private sector researchers and to establish the National Ignition Facility as a national user facility. Los Alamos, although more physically isolated from the UC campuses, has a very academic culture that draws faculty and students to its unique facilities and stellar researchers. LANL also has the National Security Education Center, which is composed of several institutes with partner universities including UC San Diego, UC Santa Barbara, UC Santa Cruz, and UC Davis. The University has devoted the majority of the fee that it receives for managing LANL and LLNL to a program to fund collaborative research among scientists at the two Laboratories and faculty and graduate students at the UC campuses.

Laboratory Characteristics

LBNL – Director Paul Alivisatos (U.S. Secretary of Energy Steve Chu was the former director of LBNL)

- Description of Lab: DOE Office of Science multidisciplinary lab for understanding complexity of biological and earth systems for energy solutions, characterizing and fabricating nanostructure materials, advancing physics and cosmology, conducting computational science of scale, and developing new scientific approaches to the understanding and prevention of disease; five DOE national user facilities
- Annual budget: \$647.7 million (FY 2009), 4017 UC employees
- Nature of contract: DOE Management and Operating contract with UC
- The current contract, which has been extended for five additional years based on strong performance, is set to expire in 2015. The contract can be extended up to 2025.

LANL – Director Mike Anastasio

- Description of Lab: DOE National Security Administration (NNSA) national security science lab; NNSA site for plutonium research, development and production; nuclear design and engineering; supercomputing platform host site; 32 national user facilities
- Annual budget: \$2.2 billion (FY 2009), 9450 LLC employees
- Nature of contract: DOE Management and Operating contract with Los Alamos National Security (LANS), LLC, a team consisting of UC, Bechtel National, Washington Group

International, and BWXT. The LLC is managed by a Board of Governors, of which there are three UC-appointed Executive Committee members, including the Chair, and two additional UC-appointed advisory members.

- The initial seven-year contract, which began in 2006, has been extended for two additional years, based on strong performance, and is now set to expire in 2015. The contract can be extended up to 2026, based on performance.

LLNL – Director George Miller

- Description of Lab: DOE NNSA national security science lab; NNSA site for nuclear design and engineering and high explosive R&D, supercomputing platform host site, high energy density physics with the National Ignition Facility (NIF) as science magnet; eight national user facilities
- Annual budget: \$1.497 billion (FY 2009), 6450 LLC employees
- Nature of contract: DOE Management and Operating contract with Lawrence Livermore National Security (LLNS), LLC, a team consisting of UC, Bechtel National, Washington Group International, BWXT, and Battelle Memorial Institute. The LLC is managed by a Board of Governors, of which there are three UC-appointed Executive Committee members, including the Chair, and two additional UC-appointed advisory members.
- The initial seven-year contract, which began in 2007, has been extended by one additional year, based on strong performance, and is now set to expire in 2015. The contract can be extended up to 2027, based on performance.

Appendices - Biographies and Organization Charts

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Regent Jesse Bernal



Term as Regent:
July1, 2009 - June 30, 2010

Committee memberships:
(2009-10):
[Compliance and Audit](#)
[Finance](#)
[Long Range Planning](#)

Address:
1318 Phelps Hall
Gevirtz Graduate School of
Education
Santa Barbara, CA 93106-
9490
(805) 893-5363

Jesse M. Bernal is the student Regent for a one-year term commencing July 1, 2009. A first generation college student, Mr. Bernal received his bachelor's degree in political science from Westmont College in Santa Barbara. He is a graduate student at the Gevirtz School of Education at UCSB working on his Ph.D. in Education with an emphasis in Cultural Perspectives including underrepresented students in higher education. As an undergraduate, he was active in several community service projects which included serving as site coordinator for a Santa Barbara Endowment for Youth after-school program and a tutor and college adviser with the California Student Opportunity and Access Program (Cal-SOAP). As a graduate student, he has served as University Affairs Chair and Executive Board Member of the UC Students Association and External Vice President for Statewide Affairs for the UCSB Graduate Students Association. He also served as the student representative on the UCSB Chancellor's Coordinating Committee on Budget Strategy and the UCSB Academic Senate committees on Planning and Budget and Diversity and Equity. Mr. Bernal is currently special programs manager in the UCSB summer sessions office, where he coordinates academic arrangements for the Early Start Program, a high school outreach program, and the Freshman Summer Start Program, a bridge program for incoming UCSB first-year students.

Regent Scorza

Regent Richard C. Blum



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Richard C. Blum is Chairman of Blum Capital Partners, L.P. and Co-Chairman of Newbridge Capital, LLC. Mr. Blum earned his B.A. and M.B.A degrees from the University of California, Berkeley. He was the recipient of UC Berkeley's Haas School of Business Alumnus of the Year Award in 1994 and is a member of the Advisory Board of the School. Mr. Blum serves as a director on a number of boards, including Playtex Products, Glenborough Realty Trust and is Chairman of CB Richard Ellis. He also serves as Co-Chairman of the World Conference on Religion and Peace and is Founder and Chairman of the American Himalayan Foundation and is a board member of the World Wildlife Fund and the Wilderness Society. He is also a trustee and a member of the executive committee of The Carter Center, founded by former President Jimmy Carter. Mr. Blum was appointed as a Regent in 2002 by Governor Davis to a 12-year term.

Appointed:

March 12, 2002

Term expires:

March 1, 2014

Committee memberships (2009-10):

As Immediate Past Chairman of the Board, Mr. Blum is ex officio committee member on all committees.

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Last updated:
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Regent William De La Peña



Appointed:

August 18, 2006

Term expires:

March 1, 2018

Committee membership (2009-10):

[Compliance and Audit \(Vice
Chair\)](#)
[Health Services \(Vice Chair\)](#)
[Investments](#)

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William De La Peña, M.D. is a professor of ophthalmology, and founder and medical director of the De La Peña Eye Clinics throughout Southern California. After graduating first in his class at the Autonomous University of Guadalajara, he completed his residency in Ophthalmology at the University of California, Irvine, followed by two one-year fellowships in cornea at Louisiana State University and the University of London. He is founder and president of the Fundacion Oftalmologica De La Peña, and the founder and Chairman of the Latin American Society of Cataract and Refractive Surgeons, non-profit organizations dedicated to the education of ophthalmology throughout the world. He was appointed by President George W. Bush and confirmed by the U.S. Senate as Regent to the Uniformed Services University for Health Sciences, and served as a Special Delegate to the United Nations. He was granted the Doctor Honoris Causa degree by his Alma Mater, the Achievement Award by the American Academy of Ophthalmology and multiple honorary memberships in ophthalmology societies in many countries. Other business interests include the media and soccer. He served as Chairman of the Professional Division of the U.S. Soccer Federation. Dr. De La Peña was appointed in 2006 by Governor Schwarzenegger to a 12-year term.

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Regent Russell Gould

**Appointed:**

September 13, 2005

Term expires:

March 1, 2017

**Committee membership
(2009-10):**

As Chairman of the Board,
Mr. Gould is ex officio
member of all committees.

Address:

1111 Franklin Street
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Oakland, CA 94607
(510) 987-9220

Russell Gould, the current Chair of the Board of Regents, has had a varied career in both the public and private sectors. He has served as a Senior Vice President of Wachovia Bank, providing leadership in business development and strategic partnerships as Senior Managing Director of Wachovia Portfolio Services, formerly Metropolitan West Securities, which he joined in 1996. While at Metropolitan West, Mr. Gould also served as Executive Vice President of the J. Paul Getty Trust where he was responsible for the investments of the Trust's \$5.5 billion in assets. Prior to this time at Metropolitan West, Mr. Gould was Director of the Department of Finance of the State of California from 1993 to 1996 and prior to that, he served as Secretary of the Health and Welfare Agency from 1991 to 1993. Mr. Gould received his bachelor's degree in political science from UC Berkeley. He previously served as a Regent of the University of California in 1998. Mr. Gould was appointed in 2005 by Governor Schwarzenegger to a 12-year term.

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Last updated:
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Regent Eddie Island

**Appointed:**

June 6, 2005

Term expires:

March 1, 2017

Committee memberships**(2009-10):**

[Educational Policy \(Chair\)](#)
[Finance](#)
[Governance](#)
[Health Services](#)

Address:Office of the
Secretary and Chief of Staff
1111 Franklin Street, 12th
floor
Oakland, CA 90403
(510) 987-9220

Eddie Island is a retired attorney and executive. Prior to his retirement in 1998, Mr. Island served as a vice president for McDonnell-Douglas Corporation where he led the law, intellectual property and governmental affairs departments throughout his tenure. Previously, he served as assistant general counsel for the Pacific Enterprises Corporation for 24 years where he handled issues related to both state and federal regulatory law. Mr. Island's experience also includes service as a member and treasurer of the California Science Center Board and chairman of the McDonnell Douglas Corporation Employees Community Fund. He earned a Juris Doctorate degree from Harvard Law School. Mr. Island was appointed to a 12-year term as a Regent in 2005 by Governor Schwarzenegger.

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Regent Odessa Johnson



Appointed:
May 4, 1999
Term expires:
March 1, 2012

**Committee memberships
(2009-10):**
[Compensation](#)
[Educational Policy](#)
[Grounds and Buildings](#)
[Health Services](#)

Address:
P.O. Box 580595
Modesto, CA 95358
(209) 521-0887

Odessa Johnson is the Dean Emerita of Community Education at Modesto Junior College and a former member of the Modesto City Schools Board of Education. Ms. Johnson received her bachelor of arts degree from Tennessee State University and her master of arts degree from Columbia University. She has served as Assistant Dean of Education at Modesto Junior College and previous to that was a counselor, career center specialist, instructor, and director of community education. She has over 25 years experience in community college education, particularly in the area of life-long learning. Ms. Johnson is a member of several organizations including the Stanislaus County Commission for Women and the Modesto Chamber of Commerce. She is a member of Delta Sigma Theta Sorority. Ms. Johnson was appointed Regent on May 4, 1999 to fill the remainder of a twelve-year term which expires on March 1, 2000 by Governor Davis. On March 1, 2000, Governor Davis reappointed her to a term expiring March 1, 2012.

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Regent George Kieffer



Appointed: May 4, 2009
Term expires: March 1, 2021

Committee memberships:
(2009-10):
Investments
Long Range Planning
Oversight of the DOE
Laboratories

Address:
1111 Franklin Street, 12th fl
Oakland, CA 94607
(510) 987-9220

George Kieffer is a partner and member of the Executive Committee of the national law firm of Manatt, Phelps & Phillips, LLP. He focuses on regulatory issues and oversees major business litigation, business transactions and government-related matters.

Mr. Kieffer has been called upon to undertake various civic and public assignments, including successfully chairing the commission charged with rewriting the Los Angeles City Charter. The new City Charter, the first full revision in 75 years, was adopted in 1999. In 2000, Mr. Kieffer was named by the *San Francisco Daily Journal* and the *Los Angeles Daily Journal* as one of the 100 most influential attorneys in California, and he has been listed in the *Best Lawyers in America*, 2005-2009 editions.

Mr. Kieffer is a former Chair of the Board of Directors of the Los Angeles Area Chamber of Commerce, the Los Angeles Mayor's Council of Economic Advisors, and the Board of Governors of the California Community Colleges. He is the author of *The Strategy of Meetings* (Simon & Schuster, 1988), and contributing author of *Governing Public Colleges & Universities*, JosseyBass, c. 1993. He received his bachelor's degree in history from U.C. Santa Barbara and his J.D. degree from UCLA. Mr. Kieffer was appointed as a Regent in May 2009 by Governor Schwarzenegger to a term ending in 2021.

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Regent Sherry L. Lansing



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Sherry Lansing is the Founder of The Sherry Lansing Foundation and former Chairman and CEO of Paramount Pictures Motion Picture Group, a position she held for twelve years. Prior to that, she headed her own production company. Ms. Lansing holds a bachelor of science degree from Northwestern University. She sits on the board of directors of The Carter Center, Teach for America, The American Association for Cancer Research, Friends of Cancer Research, and the Lasker Foundation. In 2005, Ms. Lansing was appointed to the Independent Citizens' Oversight Committee, the governing body of The California Institute for Regenerative Medicine. She has served on the board of trustees of Scripps College, the board of Independent Colleges of Southern California, the board of the UCLA Foundation, and the executive committee of the Dean's advisory board of the UCLA School of Theatre, Film and Television. Ms. Lansing was appointed as Regent in March 1999 by Governor Davis to a term expiring in 2010. She is the current Vice Chair of the Board.

Appointed:

March 11, 1999
Term expires:
March 1, 2010

Committee memberships (2009-10):

[Educational Policy](#)
[Health Services \(Chair\)](#)

Address:

The Sherry Lansing Foundation
2121 Avenue of the Stars, Suite 2020
Los Angeles, CA 90067
(310) 788-0057

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Regent Monica Lozano



Appointed:

September 21, 2001

Term expires:

March 1, 2013

Committee membership (2009-10):

Compensation (Vice Chair)

Finance (Chair)

Governance

Address:

1111 Franklin Street

12th floor

Oakland, CA 94607

(510) 987-9220

Monica Lozano is the Senior Vice President of Newspapers for Impremedia LLC, the number one Hispanic news and information company in the United States in online and print. Ms. Lozano is also the publisher and Chief Executive Officer of La Opinión Newspaper, which is the nation's largest Spanish-language daily newspaper. She has worked at the newspaper, which was founded by her family in 1926, since 1985. From 1999 to 2001, she was a member of the California State Board of Education, serving as its President for its 2000-01 session, and a member of the California Postsecondary Education Commission. Ms. Lozano currently serves on a number of corporate and non-profit boards, the Board of Trustees for the University of Southern California. Ms. Lozano was appointed in 2001 by Governor Davis to a 12-year term.

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Regent Hadi Makarechian



Hadi Makarechian serves as Chairman of Makar Properties Board of Directors and Banning Lewis Ranch Management Company. He received his B.S. in Civil Engineering and his B.A. in Economics from the State University of New York. Prior to his retirement in June 2008, Mr. Makarechian served as chief executive officer and chairman of the board of directors of Capital Holdings, Inc., a company he founded in 1991. He also founded and served as president of Shamron Corporation from 1979 to 1991. Mr. Makarechian was appointed as a Regent in October 2008 by Governor Schwarzenegger to a term ending in 2020.

Appointed: October 24, 2008

Term expires : March 1, 2020

**Committee memberships:
(2009-10):**

[Compliance and Audit](#)
[Grounds and Buildings \(Vice
Chair\)](#)
[Investments](#)

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Regent George M. Marcus



George M. Marcus is the founder and Chairman of The Marcus & Millichap Company, a national commercial real estate brokerage, investment and development company. He also holds the position as Chairman of Essex Property Trust, a New York Stock Exchange Real Estate Investment Trust. Mr. Marcus received his bachelor of arts degree in economics from San Francisco State University. In 1999, he received the "Alumnus of the Millennium" award by San Francisco State University. Mr. Marcus is a member of several organizations including The Real Estate Roundtable and the Committee to Rebuild the de Young Museum in San Francisco's Golden Gate Park. He serves on the Board of Directors of Greater Bay Bancorp, as well as Bay Area Council. In December 2000, Governor Davis appointed him to a 12-year term expiring March 2012.

Appointed:

December 22, 2000

Term expires:

March 1, 2012

**Committee memberships
(2009-10):**

[Educational Policy](#)
[Investments \(Vice Chair\)](#)
[Long Range Planning](#)
[Oversight of the DOE Laboratories](#)

Address:

The Marcus & Millichap Company
777 California Avenue
Palo Alto, CA 94304
(650) 494-1400
(650) 424-9136 (fax)

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Regent Norman Pattiz

**Appointed:**

September 21, 2001
Term expires:
March 1, 2014

**Committee memberships
(2009-10):**

Compensation
Grounds and Buildings
Health Services
Oversight of the DOE
Laboratories (Chair)

Address:

Westwood One
8965 Lindblade Street
Culver City, CA 90232
(310) 840-4201

Norman J. Pattiz is the founder and chairman of Westwood One, America's largest radio network company, which owns, manages or distributes NBC Radio Network, CBS Radio Network, the Metro Networks, CNN Radio and is the nation's largest producer of news, sports, talk and entertainment programming. In May of 2000, Mr. Pattiz was appointed by President Clinton to serve on the Broadcasting Board of Governors of the United States of America. He was reappointed to that post by President Bush in 2002, and served through March of 2006. The BBG oversees all U.S. non-military international broadcasting including Voice of America, Radio Free Europe/Radio Liberty, Radio Free Asia, Worldnet Television, Radio and TV Marti and the Middle East Broadcasting Network. As chairman of the Middle East committee, Mr. Pattiz was responsible for conceiving and launching Radio Sawa and Alhurra Television.

He is past president of the Broadcast Education Association and a member of the Board of Councilors of the Annenberg School for Communication at USC.

Mr. Pattiz has been the recipient of numerous professional and leadership awards including, an honorary doctorate from Southern Illinois University, the Distinguished Education Service Award from the Broadcast Education Association, the Freedom of Speech Award from NARTSH, and "Executive of the Year" awards from Radio Business Report, The Gallagher Report and Executive Magazine. He has also been honored by the Performing Arts Center of Los Angeles and the Israel Policy Forum. Mr. Pattiz is a member of the Council on Foreign Relations and Pacific Council on International Policy, is Director of the Office of Foreign Relations of the Los Angeles Sheriff's

Department, and serves on the
Region 1, Homeland Security
Advisory Council.

Mr. Pattiz was appointed by Governor
Davis to fill the remainder of a 12-
year term, which expires March 1,
2004. In September 2003, he was
appointed by Governor Davis to fill
the remainder of a 12-year term
which expires March 1, 2014.

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Regent Bonnie Reiss

**Appointed:**

March 10, 2008

Term expires :

March 1, 2020

**Committee memberships:
(2009-10):**

[Educational Policy \(Vice
Chair\)](#)
[Grounds and Buildings](#)
[Long Range Planning](#)
[Oversight of the DOE](#)
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Address:

1111 Franklin Street, 12th fl
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Bonnie Reiss is a partner in the Pegasus Sustainable Century Merchant Bank, the market leader in providing capital as well as strategic advice to commercially attractive sustainable businesses which are located primarily in the United States. Ms. Reiss received her BBA degree from the University of Miami and a law degree from Antioch Law School. She has over 25 years experience in business and entertainment law, political activism, finance and event production and is recognized for achievements in utilizing the entertainment industry/media to advance significant social and political causes. Prior to joining Pegasus Capital Advisors, Ms. Reiss served as senior advisor to California Governor Arnold Schwarzenegger (2003-2007), advising the Governor on all policy and strategy issues with particular focus on environment, education, and economic development. In 1992 she launched Arnold Schwarzenegger's non profit foundation, The Inner City Games Foundation, renamed After School All Stars, where she served as president for six years, building a ten state, fifteen city organization. In 1988 she founded the Earth Communications Office (ECO) and served as president for five years. Ms. Reiss is a board member of The Women's Conference, the After School All Stars; and the Lighting Science Group.

Ms. Reiss was appointed as a Regent in March 2008 by Governor Schwarzenegger to a term ending in 2020.

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Regent Frederick Ruiz

**Appointed:**

July 2, 2004

Term expires:

March 1, 2016

Committee memberships

(2009-10):

[Compliance and Audit \(Chair\)](#)
[Grounds and Buildings](#)
[Health Services](#)
[Oversight of the DOE](#)
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Address:

Ruiz Foods, Inc.
P.O. Box 37
Dinuba, CA 93618
(800) 477-6474

Fred Ruiz is Chairman and CEO of Ruiz Foods, a leading manufacturer of authentically prepared frozen Mexican foods. Mr. Ruiz is an advisor and founding member of the Institute for Family Business at California State University, Fresno and serves on the president's board for the University. He is a board member of the University of California, Merced Foundation. Mr. Ruiz is also on the boards of directors of the California Chamber of Commerce, the McClatchy Company, Gottschalks, Inc., and Valley CAN "Clean Air Now." Mr. Ruiz was appointed as a Regent in 2004 by Governor Schwarzenegger.

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Regent Leslie T. Schilling

**Appointed:**

September 13, 2005
Term expires:
March 1, 2013

**Committee membership
(2009-10):**

Grounds and Buildings
(Chair)
Finance
Investments
Long Range Planning (Vice
Chair)

Address:

1111 Franklin Street
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Oakland, CA 94607
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Leslie Tang Schilling is Founder and Director of Union Square Investments Company, a commercial real estate investment and management firm. Prior to that, she was assistant manager of the real estate department at the Chartered Bank of London. Ms. Schilling also serves as director of Tristate Holdings, Ltd., and KOA Holdings, Ltd. Ms. Schilling serves as a member of the University of California, San Francisco Foundation and Women's Forum West, and as a Commissioner of the Asian Art Museum. She is co-founder of Toys for the Tenderloin and is a director the Committee of 100. Ms. Schilling received her bachelor's degree in economics and political science from UC Berkeley and her master's degree in international management from the American Graduate School of International Management. Ms. Schilling was appointed in 2005 by Governor Schwarzenegger to complete a 12-year term ending in 2013.

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Regent Bruce D. Varner



Appointed:

August 18, 2006

Term expires:

March 1, 2018

Committee membership (2009-10):

[Compliance and Audit
Compensation \(Chair\)](#)
[Finance \(Vice Chair\)](#)
[Governance](#)
[Oversight of the DOE
Laboratories \(Vice Chair\)](#)

Address:

Varner & Brandt LLP
3750 University Avenue
Suite 610
Riverside, CA 92501
(951) 274-7777

Bruce Varner is is partner with Varner & Brandt LLP. His practice is in the areas of general business, corporate and transactional law. Mr. Varner received his B.A. degree in political science from the University of California, Santa Barbara and his J.D. from Hastings College of the Law. He is active in many civic and volunteer associations, including the President's Advancement Council, California State University, San Bernardino; member of the San Bernardino County Sheriff's Council; past member and chairman of the Board of Directors of the Inland Empire Economic Partnership; and member of the University of California, Riverside Foundation Board of Trustees. Mr. Varner was appointed in 2006 by Governor Schwarzenegger to a 12-year term.

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Regent Paul D. Wachter

**Appointed:**

July 2, 2004

Term expires:

March 1, 2016

**Committee memberships
(2009-10):**

Finance
Investments (Chair)
Governance (Chair)

Address:

Main Street Advisors
3110 Main Street
Santa Monica, CA 90405
(310) 392-7607

Paul D. Wachter is the founder and Chief Executive Officer of Main Street Advisors. Main Street Advisors provides a wide range of financial, strategic and asset management advisory services to a select group of high net worth individuals and companies. Main Street Advisors was founded in 1997. Prior to forming Main Street Advisors, from 1993-1997 Mr. Wachter was Managing Director and Head of Schroder & Co. Incorporated's Lodging and Gaming Group, its Sports & Leisure Group and Schroder's West Coast investment banking effort. From 1987 to 1993, Mr. Wachter was a managing director at Kidder Peabody, where he founded and was responsible for Kidder's Hotel, Resorts and Leisure Group, and managed Kidder Peabody's Los Angeles investment banking group. He began his career as an investment banker at Bear, Stearns & Co. Inc., covering the entertainment industry. From 1982 to 1985, Mr. Wachter worked at Paul, Weiss, Rifkind, Wharton and Garrison as a tax attorney. From 1981 to 1982, Mr. Wachter clerked for Judge Dorothy W. Nelson on the U.S. Court of Appeals for the 9th Circuit. Mr. Wachter is a 1981 graduate of Columbia Law School, where he was a James Kent Scholar and a Harlan Fiske Stone Scholar, and he graduated Magna Cum Laude and Beta Gamma Sigma from the Wharton School of the University of Pennsylvania in 1978. Mr. Wachter is a member of the New York State Bar. Trustee, Advisory & Board roles include: • Trustee of California Governor Arnold Schwarzenegger's Blind Trust and First Lady Maria Shriver's Blind Trust. He served as a key advisor and strategist to Governor Schwarzenegger's 2003 and 2006 campaigns and transition teams. • Special Advisor to the

California Commission for Jobs and Economic Growth. • Chairman of the Austrian Holocaust Reparations Committee formed by the United States District Court to administer the Austrian Bank Holocaust Settlement Fund. • Special Master in the AOL/Time Warner, Inc. Securities Litigation Appointed by the United States District Court, Southern District of New York from December 2004 – June 2007. • Special Master in Moody's Investor Services class action suit. Appointed by the United States District Court, Southern District of New York in June 2009. • Chairman of the Board of the After-School All-Stars national organization (formerly the Inner-City Games Foundation), Board Member since 1995. He also serves as a Director on the Los Angeles Chapter of the After-School All-Stars. • Special Olympics – Currently serves on the Board of Governors of Special Olympics Southern California, where he was Vice Chairman of the Board of Directors from 1995 – 1998 and a Board of Directors member from 1995 – 2003. • Co-Chairman of the Board of Content Partners, a Los Angeles-based company that purchases passive back-end participations in entertainment assets from talent and other participation owners. • Serves on the Board of Directors of Haworth Marketing and Media Company. • American Skiing Company Board of Directors from 1996 to 2008. Mr. Wachter was appointed as a Regent in 2004 by Governor Schwarzenegger.

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Regent Charlene Zettel



Appointed: May 4, 2009
Term expires : March 1,
2021

Committee memberships:

(2009-10):

Compliance and Audit
Grounds and Buildings
Health Services
Educational Policy (ex officio)

Address:

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12th fl
Oakland, CA 94607
(510) 987-9220

Charlene Zettel is currently a Board Member of the San Diego Regional Airport Authority and served as the Director of the Department of Consumer Affairs for Governor Arnold Schwarzenegger from 2004-2007. She was elected to the Poway Unified School District Board of Education and twice elected to the California State Assembly. In the State Assembly, she served as chair of the Republican Caucus, vice chair of the Assembly Committee on Jobs, Economic Development and the Economy, and a member of the Appropriations, Education, Health, Rules, Transportation and Governmental Organization committees. She was appointed by President George Bush as public interest director of the Federal Home Loan Bank of San Francisco (2003 -2005) and is currently a member of the board of directors of the San Diego and Imperial Counties Chapter of the American Red Cross. She received a Bachelor of Science degree in dental hygiene from the University of Southern California School of Dentistry. She was appointed by Governor Schwarzenegger in 2009 for a 12 year term.

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About Arnold

ARNOLD SCHWARZENEGGER
38TH Governor of California



The world knows Arnold Schwarzenegger as a famous bodybuilder and a Hollywood action hero, but he is also a successful businessman, generous philanthropist and California's 38th Governor.

Governor Schwarzenegger's most notable accomplishments in his first six years in office include the nation-leading Global Warming Solutions Act of 2006 - a bipartisan agreement to combat global warming by reducing California's greenhouse gas emissions - and overhauling the state's workers' compensation system - cutting costs by more than 35 percent. In addition, Governor

Schwarzenegger is the first governor in decades to make major investments in improving California's aging infrastructure through his Strategic Growth Plan, helping to reduce congestion and clean the air. He established the Hydrogen Highway and Million Solar Roofs Plan, continuing his leadership in creating a greener environment. In November 2009, more than three years of leadership by Governor Schwarzenegger culminated with the passage of the Safe, Clean and Reliable Drinking Water Supply Act of 2010.

As Governor, he has been California's most effective marketing tool, traveling across the country and around the world promoting California-grown products, cutting-edge technologies and the state's diverse travel destinations. In addition, using his background as an internationally recognized athlete, Governor Schwarzenegger has made restoring health and fitness a top priority. He signed legislation making the state's school nutrition standards the most progressive in the nation and continues to promote healthy habits by taking harmful trans fats out of California restaurants and ensuring nutritional information is available to diners. To improve classrooms across the state and ensure that all California's students have access to the world-class education they need to grow, thrive and succeed, Governor Schwarzenegger has led the reform to make California competitive for up to \$700 million in federal Race to the Top funds.

Additionally, since he took office, Governor Schwarzenegger has worked to reform California's fiscal policies, create a better business environment, reduce burdens on employment, boost exports and stimulate job growth. Through the end of 2007, California's Gross State Product had grown by 29 percent since the governor took office in 2003.

This world-famous athlete and actor was born in Austria in 1947, and at 20 became the youngest person ever to win the Mr. Universe title. He came to America shortly after, winning an unprecedented 12 more world bodybuilding titles. Challenging both his body and mind, he earned a college degree from the University of Wisconsin and became a U.S. citizen in 1983. Three years later he married broadcast journalist Maria Shriver.

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Governor Schwarzenegger's most gratifying accomplishments are rooted in public service - committing his time, energy and personal finances to charitable organizations around the world. He and Maria have remained closely involved in Special Olympics, an organization founded by Maria's mother, Eunice Kennedy Shriver. He was named Special Olympics International Weight Training Coach in 1979 and serves as a Global Ambassador.

Recognizing his passion for helping kids, in 1990 former President George Bush appointed Governor Schwarzenegger Chair of the President's Council on Physical Fitness and Sports, in which capacity he traveled all 50 states and recognized the overwhelming need for more after-school alternatives. He also served as Chair of the California Governor's Council on Physical Fitness and Sports under Governor Pete Wilson.

Governor Schwarzenegger has committed himself to promoting physical education and after-school programs. In 2002, his support for Proposition 49, the After-School Education & Safety Act, led it to overwhelming victory. As Governor, he has aggressively worked to increase after-school funding, making California the first state in the nation to significantly invest in a comprehensive after-school program.

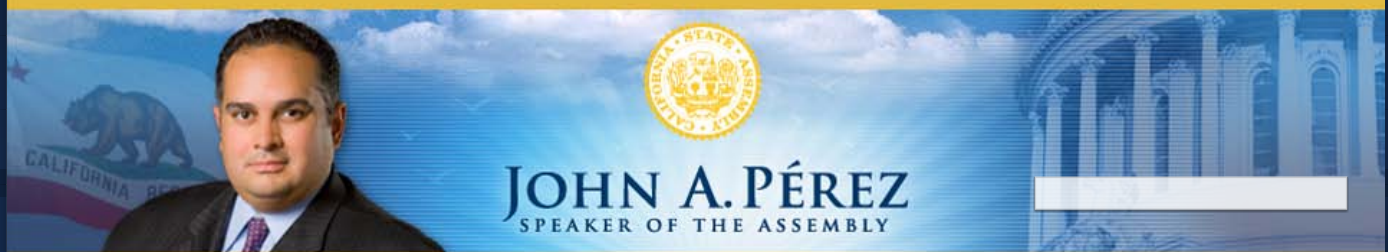
His many accomplishments have earned him the praise of numerous organizations, including the Simon Wiesenthal Center's "National Leadership Award" for his support of the organization's Holocaust studies. Schwarzenegger was the only actor to be in both categories of the American Film Institute's Hundred Years of Heroes and Villains. In 2002, Schwarzenegger was given the esteemed honor of the Muhammad Ali Humanitarian Award, presented to him by Ali, a longtime friend and sports mentor.

Governor Schwarzenegger and his wife Maria Shriver have four children - Katherine, Christina, Patrick and Christopher.

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Meet John

Assemblymember John A. Pérez was elected to represent the 46th District in Los Angeles.

Growing up in the working class communities of El Sereno and Highland Park, John's parents taught him the value of hard work and community service. With over 15 years working within the labor movement, John has channeled these values into fighting to create jobs, expand healthcare and protect workers' rights.

Knowing that opportunity and a path to success are not always easy to find, John has worked tirelessly to create jobs for local residents. He helped lead the effort to mandate a local hire agreement requiring 30% of all major construction jobs to be dedicated to local residents and those in need, providing those individuals with valuable experience and training in skilled professions. He also played a leading role in the increase of the California minimum wage.

Having worked both in housing projects and with immigrants on job sites to improve wages, healthcare and benefits, John also has a deep understanding of the daily struggles that so many working families endure just to survive. John helped organize tenants to learn about lead exposure and abatement programs, implemented free lead screening tests, and instituted education efforts for residents in developments impacted by lead exposure.

John's work on behalf of the community has been recognized by various elected officials and organizations. Three mayors, including Mayor Antonio Villaraigosa, have appointed John to major Los Angeles City Commissions. Former Assembly Speaker Bob Hertzberg appointed John to serve on a Blue Ribbon panel studying state initiative reform. John also received a Presidential appointment to serve on the President's Advisory Council on HIV and AIDS.

In addition to his work in the labor movement, John serves as an elected member of the Democratic National Committee. John has served as a board member for the California League of Conservation Voters, AIDS Project Los Angeles, the Latino Coalition against AIDS, the California Center for Regional Leadership, and the Los Angeles Economic Development Corporation.

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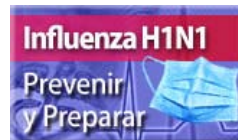
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Biography

Jack O'Connell, State Superintendent of Public Instruction.

Jack O'Connell was elected to a second four-year term as State Superintendent of Public Instruction on June 6, 2006. He was the only statewide official to be elected in the June primary election, after earning more than half of all votes cast in a field of five candidates. He was first elected to serve as California's 26th State Superintendent on November 5, 2002, earning more votes than any other contested candidate in the country. As chief of California's public school system and leader of the California Department of Education, Superintendent O'Connell has focused on closing the achievement gap and preparing students for a rapidly changing global economy by holding high standards for all students. He is a strong supporter and facilitator of partnerships between schools, businesses, communities, and philanthropies in order to engage students with challenging, real-world education experiences.

He has worked to smooth the transitions between all segments of education, from preschool to college or the workplace. As a former high school teacher and author of the legislation creating the California High School Exit Exam, he has led a comprehensive effort to increase rigor and improve student achievement in California high schools. Superintendent O'Connell is a proven team builder with the ability to forge consensus on contentious issues, especially where challenges are strongest. He has worked to fortify California's world-class academic standards, strengthen California's school accountability and assessment systems and bolster state funding for public school classrooms. He also has been a leader among state school chiefs nationwide in an effort to increase flexibility and fairness in the federal No Child Left Behind school accountability system. He is a long-time advocate for smaller class sizes, improved teacher recruitment and retention, comprehensive testing, and up-to-date school facilities.

Superintendent O'Connell was born in 1951 in Glen Cove, New York. In 1958, his family moved to Southern California, where he attended local public schools. He received a Bachelor of Arts degree in history from California State University (CSU), Fullerton and earned his secondary teaching credential from CSU, Long Beach in 1975. He returned to his high school alma mater to teach for several years and later served on the Santa Barbara County School Board.

He was elected to the 35th State Assembly District in 1982 and was reelected by wide margins thereafter, once garnering both the Republican and the Democratic nominations. In 1994, O'Connell was elected to the 18th State Senate District on California's Central Coast and easily won reelection in 1998.

Throughout his career, Superintendent O'Connell has worked to improve public education in California. As the author of numerous landmark education bills in both the California Assembly and the State Senate, he made quality education his number one priority. This commitment to the children of California earned Superintendent O'Connell the praise and the respect of colleagues and educators statewide.

Superintendent O'Connell and his wife, Doree, have been married for more than 30 years and have a daughter, Jennifer, who is 23.

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Regent Ronald W. Stovitz

**Term as Regent:**

July 1, 2009 - June 30, 2010

**Committee membership:
(2009-10):**

Compensation
Compliance and Audit
Health Services
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Ronald W. Stovitz is retired Presiding Judge of the State Bar Court of California. He received his B.A. degree in political science in 1964 from the University of California, Riverside, and his Juris Doctorate in 1967 from the University of Southern California Law School. After service in the State Bar of California's General Counsel's office and as Counsel to the State Bar Court, he was appointed by the Supreme Court of California in 1989 to one of the first full-time judgeships created to decide appeals in all cases of attorney discipline and regulation. He was reappointed in 1995 and 2000 and elevated to the Presiding Judgeship in 2001. He continues to sit on the State Bar Court pro tem in retirement.

Judge Stovitz has served as President of the National Organization of Bar Counsel and was the founding President of the National Council of Lawyer Disciplinary Boards. For more than 20 years, he served as an invited faculty member of the American Bar Association's Annual Conference on Professional Responsibility. He has also served as an ex officio member of the California Judges Association Ethics Committee and chaired its Electronic Information Committee. He currently serves as a member of the National Advisory Board of the Tamarind Institute of the University of New Mexico. Judge Stovitz had served as President of the UCR Alumni Association and currently serves as a Trustee of the UCR Foundation. He serves as Regent and President of the Alumni Associations of UC (AAUC) for a one-year term commencing July 1, 2009.

Regent Ron Stovitz

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Regent Yolanda Nunn Gorman

**Term as Regent:**

July 1, 2009 - June 30, 2010

**Committee memberships:
(2009-10):**

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Yolanda Nunn Gorman is President and Chief Executive Officer of Brilliance Strategies, Inc. a full service management consulting firm that specializes in nonprofit organizational development. In addition, she serves as Interim Dean and chairs a doctoral program in organizational consulting at Phillips Graduate Institute in Encino, California. A three-time graduate of UCLA, Ms. Gorman holds a B.A. in psychology, an M.B.A. from the Anderson School and a Ph.D. in education. During her career, Ms. Gorman has assisted private foundations, school districts, universities, and community and faith-based organizations with board development, strategic planning, resource development and research and evaluation. An active volunteer with multiple community, civic and cultural organizations, Ms. Gorman is currently the chair of the board of directors of the California Association of Nonprofits (CAN), Co-chair of the Chaka Khan Foundation and the immediate past-president of the UCLA Alumni Association. Her involvement with the Association was launched with her participation in the inaugural class of the Alumni Academy. Since then she has served on the UCLA Board first as director, then vice president and president-elect. In 2005 she led the Association's strategic planning process, developing a new plan to guide the organization into the future. Ms. Gorman's other volunteer activities include serving as a member of the boards of the UCLA Foundation, CAN Insurance Services, and the National Council of Nonprofit Associations (NCNA). She is also a member of the editorial board of the UCLA Magazine and the author of several articles and papers on nonprofit capacity building and small business management. Effective July 1, 2009, she will serve a one-year term as ex-officio Regent and AAUC Vice President.

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Regent-designate Jesse Cheng



Jesse Cheng is the current Student Regent-designate. He will be the student Regent for a one-year term commencing July 1, 2010. Mr. Cheng is an undergraduate student at the University of California, Irvine, majoring in Asian American studies. Mr. Cheng has been active in many areas while at UC Irvine, including: the Asian Pacific Student Association, where he serves on its executive board; student representative to the Irvine Academic Senates' Committee on Educational Policy; Student Fee Advisory Committee; and representative for the School of Humanities, Legislative Council, Associated Students.

Term as Regent:

July 1, 2010 - June 30, 2011

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(2009-10):**

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Regent Cheng

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Regent-Designate Rex Hime



Term as Regent:
July 1, 2010 - June 30, 2011

**Committee Advisory
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Rex Hime is President and Chief Executive Officer of California Business Properties Association (CBPA), a coalition of leading companies and professional associations in the commercial, industrial and retail real estate sector. Mr. Hime received his B.A. degree in political science and his law degree from the University of California, Davis. He has served as the Presidential as well as the California State Assembly Representative on the Tahoe Regional Planning Agency and was a member of the California Task Force on Violence Prevention. Currently he serves as the Governors' appointment to the Board of Directors the California State Fair (CAL-EXPO), was its Chair for two years, and as a Trustee for the Greater Sacramento Valley Leukemia & Lymphoma Society, where he currently is the Chair. He is a past President of the Cal Aggie Alumni Association and has served on many committees for the Davis campus. Prior to joining CBPA, Mr. Hime served on then-Governor Reagan's educational staff and as Assistant to the Director for the State Department of Consumer Affairs. Later he was the Executive Director of the California State Commission for Economic Development, Director for the California Commission on Agriculture and as a Special Assistant to the Lieutenant Governor. His legislative experience includes service as the Senior Assistant to the Minority Leader of the California State Assembly. Mr. Hime serves as Regent-Designate and Secretary of the Alumni Associations of UC (AAUC) for a one-year term commencing July 1, 2009.

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Regent-Designate Darek DeFreece



Term as Regent:
July 1, 2010 - June 30, 2011

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Darek DeFreece is Managing Counsel for Wells Fargo Bank, N.A., leading a team of lawyers in support of the bank's international businesses. He received his A.B. degree in political science from the University of California, Berkeley and his J.D. from Boston College Law School. DeFreece has focused his legal career on financial services including OTC derivatives, investment management and international law. DeFreece is a member of the Financial Markets Lawyers Group. The FMLG advises on legal issues relevant to over-the-counter foreign exchange and other financial markets and is comprised of lawyers who support foreign exchange and other financial markets trading in leading worldwide financial institutions. The FMLG is sponsored by the Federal Reserve Bank of New York. DeFreece is the Immediate Past-President of the California Alumni Association, representing the 430,000 living alumni of UC Berkeley. Under DeFreece's presidency, CAA launched its new strategic plan with increased emphasis on alumni engagement, scholarship and advocacy, all in support of the University. Mr. DeFreece also serves as a Trustee of the UC Berkeley Foundation and as a National Advisory Counsel member for the Institute of Governmental Studies. He serves as Regent-Designate and Treasurer of the Alumni Associations of UC (AAUC) for a one-year term commencing July 1, 2009.



President Mark G. Yudof

Mark G. Yudof was named the 19th president of the University of California on March 27, 2008, and took office June 16, 2008. He leads a university system with 10 campuses, five medical centers, three affiliated national laboratories, and a statewide agriculture and natural resources program. The UC system has 220,000 students, 180,000 faculty and staff, more than 1.6 million alumni, and an \$18 billion annual operating budget.

Yudof served as chancellor of the University of Texas System from August 2002 to May 2008 and as president of the four-campus University of Minnesota from 1997 to 2002. Before that, he was a faculty member and administrator at the University of Texas at Austin for 26 years, serving as dean of the law school from 1984 to 1994 and as the university's executive vice president and provost from 1994 to 1997. His career at UT Austin began in 1971, when he was appointed an assistant professor of law. He has continued to teach throughout his administrative career.

While on the UT law faculty, he was also a visiting professor at the law schools at the University of Michigan and UC Berkeley, and conducted research as a visiting fellow at the University of Warwick in England.

Yudof is a distinguished authority on constitutional law, freedom of expression and education law who has written and edited numerous publications on free speech and gender discrimination, including "Educational Policy and the Law." He is a fellow of the American Academy of Arts and Sciences and a member of the American Law Institute. He served a two-year term on the U.S. Department of Education's Advisory Board of the National Institute for Literacy and currently is a member of the President's Council on Service and Civic Participation.

A Philadelphia native, he earned an LL.B. degree (cum laude) in 1968 from the Law School of the University of Pennsylvania, where he also earned a B.A. degree (cum laude with honors in political science) in 1965. He was awarded the Alumni Award of Merit (2001) and the prestigious James Wilson Award (2004) by the University of Pennsylvania Law School for his many years of service and contributions to the legal community.

His wife, Judy, is the immediate past international president of the United Synagogue of Conservative Judaism. She also serves on the U.S. Holocaust Memorial Museum Council and the international board of Hillel. In 1993, Mark and Judy Yudof were co-recipients of the Jewish National Fund Tree of Life Award. The Yudofs have two grown children - a son, Seth, and a daughter, Samara.



Lawrence H. Pitts named interim UC provost

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Date: 2009-02-05

Contact: University of California Office of the President

Phone: (510) 987-9200

Email:

The University of California Board of Regents today (Feb. 5) confirmed UC President Mark G. Yudof's appointment of UC professor emeritus Lawrence H. Pitts, M.D., as interim provost and executive vice president for academic affairs of the UC system.

Pitts fills the vacancy in the position resulting from the departure of interim Provost Robert Grey. Pitts' six-month interim appointment will be effective on or about Feb. 10, 2009, and will continue until a permanent provost is hired and for a reasonable transition period thereafter or until Aug. 31, 2009, whichever occurs first.

Yudof made the interim appointment in accordance with UC policy and after consulting with all 10 campus chancellors and several UC regents. A national search is under way for a permanent provost which Yudof hopes to successfully conclude by Sept. 1, 2009. Yudof is consulting with a working group on the selection of a permanent provost.

"Larry is an accomplished academic leader and he knows UC extremely well," said Yudof. "I am very appreciative that he has agreed to lend his considerable talents to us during this transitional period."

"I also want to thank Bob Grey for his service and partnership these past months," said Yudof. "I am deeply indebted to him for his generosity and service to us since these past months, and I respect his decision to step down."

Pitts, 68, a longtime UC faculty member and past chair of the UC Academic Senate, is a professor of neurosurgery at UC San Francisco, where he has served on the faculty since 1975. At UCSF he has been chief of neurosurgery at San Francisco General Hospital and of UCSF/Mount Zion Hospital, and vice chair and acting chair of the Department of Neurosurgery. He has also served on a variety of UC Academic Senate committees at the divisional and systemwide levels, including the Senate's Shared Governance Task Force, the Task Force on Healthcare and the drafting task force on UC's Health Corporate Compliance Plan. Pitts received concurrent bachelor's degrees in electrical engineering and industrial management from the Massachusetts Institute of Technology. He served as a naval officer for two years before attending the Case Western Reserve University School of Medicine. He did his neurosurgical training at UCSF.

"The University of California is a remarkable institution, and one that I care about deeply, and I am honored to serve UC in this capacity," said Pitts.

As interim provost, Pitts will receive the following compensation and benefits: an annual salary of \$350,000, which is the same salary as his predecessor; per policy, standard sick leave and vacation accrual; per policy, administrative funds for official entertainment and other purposes permitted by university policy; and per policy, eligibility for standard employee medical, dental and vision coverage. As a re-employed UC retiree, Pitts will suspend his pension and retiree benefits, allowing him to return full time during this appointment as an active employee and making him eligible for regular employee health coverage and additional pension credits for his service, consistent with UC policy. The full-time appointment is an exception to policy since it exceeds the normal appointment maximum of 43 percent time for re-employed retirees.



Division of Business Operations

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Nathan Brostrom Executive Vice President, Business Operations



Nathan Brostrom has been appointed Executive Vice President for Business Operations effective February 1, 2010. Mr. Brostrom has held the position on an interim basis since September 8, 2009. As Executive Vice President, Mr. Brostrom serves as chief administrative officer for the University of California system, with responsibility over systemwide budget, facility construction and maintenance, real estate management, human resource administration, institutional advancement and information technology support. He also oversees the budget and administration of the Office of the President, including the ongoing restructuring process.

Nathan Brostrom joined the University of California in 2006 as Vice Chancellor for Administration at the Berkeley campus. He was responsible for advising the Chancellor and the Executive Vice Chancellor and Provost on all budget and resource management, health and human services, and fiscal planning matters. He managed the campus's annual operating budget of more than \$1.8 billion and was responsible for a division that is the largest provider of services to campus staff and a significant provider of services to UC Berkeley students.

Before coming to UC Berkeley in 2006, Mr. Brostrom spent ten years as Managing Director and Manager of the Western Region Public Finance group for JPMorgan, where he worked on financings totaling more than \$100 billion for municipal clients throughout the western United States. He served as lead banker on the \$11.3 billion energy bond program for the California Department of Water Resources, the financing that repaid the state general fund for the lost revenue from the 2000-2001 California energy crisis.

Mr. Brostrom served as a banker for higher education and cultural institutions including Stanford University, the Getty Trust, the California State University system, the California community college system, the Asian Art Museum of San Francisco, the San Francisco Ballet, and other cultural institutions in the western United States. Over ten years, he worked on financings totaling over \$4.3 billion for the Regents of the University of California. His experience also includes four years in the office of the California State Treasurer, and additional corporate finance experience at JPMorgan Securities and Quarterdeck Investment Partners.

Mr. Brostrom graduated Phi Beta Kappa from Stanford University and holds a master's degree in public and international affairs from the Woodrow Wilson School at Princeton University. He and his wife Caitlin live in Berkeley with their six children.

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UC Berkeley
Robert J. Birgeneau

Robert J. Birgeneau became the ninth chancellor of UC Berkeley on Sept. 22, 2004. An internationally distinguished physicist, he is a leader in higher education and is well known for his commitment to diversity and equity in the academic community.

Before coming to Berkeley, Birgeneau served four years as president of the University of Toronto. He previously was dean of the School of Science at MIT, where he spent 25 years on the faculty. From 1968-75, he was at Bell Laboratories and subsequently joined the physics faculty at MIT.

A foreign associate of the National Academy of Sciences, he has received many awards for teaching and research, and is one of the most cited physicists in the world for his work on the fundamental properties of materials.

Birgeneau received his B.Sc. in mathematics from the University of Toronto and his Ph.D. in physics from Yale.

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UC Davis
Linda P.B. Katehi

Linda Katehi became the sixth chancellor of UC Davis on Aug. 17, 2009. As chief executive officer, she oversees all aspects of the university's teaching, research and public service mission.

Katehi (kah-TAY-hee) also holds UC Davis faculty appointments in electrical and computer engineering and in women and gender studies. A member of the National Academy of Engineering, she chairs the President's Committee for the National Medal of Science and is chair of the Secretary of Commerce's committee for the National Medal of Technology and Innovation. She is a fellow and board member of the American Association for the Advancement of Science and a member of many other national boards and committees.

She earned her bachelor's degree in electrical engineering from the National Technical University of Athens, Greece, in 1977, and her master's and doctoral degrees in electrical engineering from UCLA in 1981 and 1984, respectively.



UC Irvine
Michael V. Drake

Michael V. Drake, M.D., longtime UC faculty member and administrator and UC vice president for health affairs, was appointed chancellor of UC Irvine effective July 1, 2005.

UC Irvine's fifth chancellor, Drake has received numerous awards for teaching, public service, mentoring and research, including the UCSF School of Medicine's Clinical Teaching Award, and is the recipient of the Herbert W. Nickens, M.D., Award, one of the highest honors bestowed by the Association of American Medical Colleges.

Drake is the current national president of the Alpha Omega Alpha Honor Medical Society and serves as a trustee of the Association of Academic Health Centers. He was elected to the National Academy of Sciences' Institute of Medicine in 1998.

He holds an M.D. from UC San Francisco, and two undergraduate degrees, an A.B. in African and African American studies from Stanford University and a B.S. in medical sciences from UCSF. He also holds certifications from the National Board of Medical Examiners and the American Board of Ophthalmology.

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UCLA
Gene D. Block

An accomplished biologist and administrator, Gene D. Block was named chancellor of the UCLA campus, effective Aug. 1, 2007. Before coming to UCLA, Block served for nearly 30 years in several administrative roles at the University of Virginia, including vice president and provost for the past five years, vice president for research and public service, vice provost for research, founding director of the university's National Science Foundation Center for Biological Timing, and director of the Biodynamics Institute.

Block's major research interests are cellular physiology of biological clocks, and chronobiological aspects of aging. He has published extensively on matters concerning sleep-related biological research, and his inventions include a non-contact respiratory monitor for the prevention of sudden infant death syndrome and a speaking aid for movement restricted patients. A recipient of the National Science Foundation Pioneer Award, Block is a member of the Society for Neuroscience, the American Association for the Advancement of Science and the Society for Research on Biological Rhythms, and serves on the National Institute of Aerospace board of directors. He received his undergraduate degree from Stanford University, and master's and doctorate degrees from the University of Oregon.



UC Merced
Sung-Mo (Steve) Kang

Sung-Mo (Steve) Kang was appointed chancellor of UC Merced effective March 1, 2007. Beginning in 2001, Kang served as dean of the Baskin School of Engineering and professor of electrical engineering at UC Santa Cruz. Prior to his appointment at UCSC, he was a professor and department head of electrical and computer engineering at the University of Illinois. Until 1985, Kang was with AT&T Bell Laboratories, where he led the development of the world's first 32-bit CMOS microprocessor chips and peripheral chips. He was also a visiting professor at the Korea Advanced Institute of Science and Technology.

Recognized nationally and internationally as a leader in his field, he holds 14 patents, has published more than 350 technical papers, and has coauthored eight books. His current research interests include low-power/large-scale integration design, mixed-signal mixed-technology integrated systems, modeling and simulation of semiconductor devices and circuits, high-speed optoelectronic circuits and optical network systems, and nanoelectronics.

Kang received a B.S. from Fairleigh Dickinson University, his M.S. from SUNY-Buffalo and a Ph.D. from UC Berkeley - all in electrical engineering.

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UC Riverside
Timothy P. White

Timothy P. White, an internationally recognized scholar for his work in muscle plasticity, injury and aging, was named chancellor of the UC Riverside campus, effective Sep. 1, 2008.

An immigrant from Argentina and first-generation college student who attended all three systems of California public higher education, White has three decades of experience in public research universities. He served as a faculty member at the University of Michigan, ultimately serving as chair of the kinesiology department. From 1991-96, he was a professor and chair of the human biodynamics department at UC Berkeley. Subsequently, he was at Oregon State University, where he served as dean of the College of Health and Human Sciences, provost, executive vice president and interim president, before his joining the University of Idaho as president in August 2004. White began his higher education at Diablo Valley Community College before earning his B.A. degree from CSU Fresno, M.S. degree from CSU Hayward, and Ph.D. from UC Berkeley.



UC San Diego
Marye Anne Fox

Marye Anne Fox was named chancellor of UC San Diego effective August 2004. She previously served as chancellor of North Carolina State University from 1998-2004. Before going to North Carolina, Fox spent 22 years at the University of Texas, where she was a professor of organic chemistry and vice president for research.

She is an elected member of the National Academy of Sciences and has served on its executive committee, and is a fellow of the American Association for the Advancement of Science. Fox has held more than 50 endowed lectureships and numerous visiting professorships at universities around the world. Fox has received numerous teaching awards, as well as the Monie Ferst Award, a national award recognizing outstanding mentoring of graduate students. She has also received a long list of research awards from professional societies in the U.S. and abroad. Fox earned a bachelor's degree from Notre Dame, a master's degree from Cleveland State University and a Ph.D. from Dartmouth.

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UC San Francisco
Susan Desmond-Hellmann

Susan Desmond-Hellmann, M.D., MPH, is chancellor of UC San Francisco. She assumed the post Aug. 3, 2009.

Desmond-Hellmann previously served as president of product development at Genentech, a position she held from March 2004 through April 30, 2009. She joined Genentech in 1995 as a clinical scientist, and she was named chief medical officer in 1996. In 1999, she was named executive vice president of development and product operations.

She completed her clinical training at UCSF and is board-certified in internal medicine and medical oncology. She holds a bachelor of science degree in pre-medicine and a medical degree from the University of Nevada, Reno, and a master's degree in public health from the University of California, Berkeley.

Desmond-Hellmann also has served as associate adjunct professor of epidemiology and biostatistics at UCSF. During her tenure at UCSF, she spent two years as visiting faculty at the Uganda Cancer Institute, studying HIV/AIDS and cancer. She also spent two years in private practice as a medical oncologist before returning to clinical research.



UC Santa Barbara
Henry T. Yang

Yang was named UC Santa Barbara's fifth chancellor in 1994. He is also a professor of mechanical engineering at UCSB, specializing in aerospace structures, structural dynamics, composite materials, finite elements, transonic aeroelasticity, wind and earthquake structural engineering, and manufacturing.

Before joining UCSB, Yang was the Neil A. Armstrong Distinguished Professor of Aeronautical and Astronautical Engineering at Purdue University, where he also served as the dean of engineering for ten years.

Yang holds a bachelor's degree from National Taiwan University, a master's degree from West Virginia University, and a doctorate from Cornell University. He is a member of the National Academy of Engineering and a Fellow of the American Institute of Aeronautics and Astronautics.

Yang continues to receive federal research grants, guide graduate students, and teach undergraduate courses at the Santa Barbara campus.

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UC Santa Cruz
George Blumenthal, chancellor

George Blumenthal was named the 10th chancellor of UC Santa Cruz on September 19, 2007. A UCSC professor of astronomy and astrophysics and a former chair of the UC systemwide Academic Senate, he had served as acting chancellor since July 2006.

A member of the UC Santa Cruz faculty since 1972, Blumenthal has chaired its astronomy and astrophysics department and the Santa Cruz Division of the Academic Senate. His areas of research include the nature of the dark matter which constitutes most of the mass in the universe, the origin of galaxies and other large structures in the universe, and the structure of active galactic nuclei such as quasars. He received his B.S. degree from the University of Wisconsin-Milwaukee and his Ph.D. in physics from UC San Diego. [photo: Paul Schraub Photography]



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2009-10 Academic Senate Vice Chair Daniel Simmons



Daniel Simmons is a professor of law at the University of California Davis, where he has been on the faculty since 1976. Professor Simmons teaches basic federal income tax, corporate tax and partnership tax. He is a co-author of casebooks on Federal Income Taxation, Federal Income Taxation of Business Organizations, Federal Income Taxation of Corporations, and Federal Income Taxation of Partnerships and S Corporations, as well as numerous articles. Recent articles include Reform of the California Tax Collection Process and Taxation of Built-in Gain and Loss Property in Partnerships. Professor Simmons received his AB degree in 1964 and JD degree in 1971 from UC Davis. Following law school he was a law clerk for Justice Louis Burke on the California Supreme Court.

Professor Simmons served as a Professor-in-Residence in the Office of the Chief Counsel of the Internal Revenue Service in 1986-87. He has been on the executive board of the State Bar Tax Section, and has served as chair of the Teaching Tax Committee of the ABA Section on Taxation. He has been a member of the Governing Board of the California Continuing Education of the Bar. He has testified before the California Commission on Tax Policy for the New Economy and the Assembly Judiciary Committee regarding creation of a state tax court, and has testified before the California Assembly Budget Committee and Revenue and Taxation Committee regarding tax policy with respect to abusive shelters. He is the graduate group chair for the UC Davis Masters of Law in International Commercial Law. He is a member of the American College of Tax Council and the American Law Institute.

Professor Simmons is a frequent speaker on current developments in Federal income taxation, issues of partnership taxation and abusive tax shelters, among other topics.

Professor Simmons is currently serving as the vice-chair of the University of California Academic Senate and a faculty representative to the UC Board of Regents. He previously served as the vice-chair and chair of the UC Senate in 1993-1995. He twice served as the Chair of the UC Davis Academic Senate, in 2004-2006 and 1991-1993. He has also served as Associate Provost for Educational Relations in the University of California Office of the President. His responsibilities in that position included the early development and planning for UC Merced.

Outside of tax, Professor Simmons has served as a member of the UC President's Advisory Council on the National Laboratories, the National Security, Laboratory Security and Environmental Safety and Health Panels of the President's Council. He is an active skier in the Far West Masters and races an eighteen foot sailboat in the Mercury class.



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2009-10 Academic Senate Chair Henry "Harry" Powell



Henry C (Harry) Powell is Professor of Pathology at the UC San Diego School of Medicine. He is a medical graduate of University College Dublin and his M.D. and D.Sc. degrees are from the National University of Ireland. After training at the Philadelphia General Hospital, UC San Diego and the Massachusetts General Hospital he was board certified in Anatomic and Clinical Pathology and Neuropathology and he is a Fellow of the Royal College of Pathologists in London. He has been a faculty member at UC San Diego since 1976 and has served as Neuropathology division head from 1986-2008 and as interim chair of Pathology from 1999-2004. His research has focused on diseases of the peripheral nervous system, in particular the pathogenesis and pathology of diabetic neuropathy and mechanisms of increased endoneurial fluid pressure. Dr Powell has served as residency program director in Neuropathology and also Anatomic and Clinical Pathology. In the divisional Senate at UC San Diego he has served as a member of the Committee on Academic Personnel, the Committee on Committees, on the School of Medicine Faculty Rights and Welfare Committee and chair of the divisional Senate.

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Secretary and Chief of Staff to The Regents

Diane M. Griffiths is the Secretary and Chief of Staff to The Regents of the University of California. The Secretary and Chief of Staff is one of three principal officers of The Regents.

The Secretary and Chief of Staff shall serve as the primary liaison between The Regents and the University administration, working directly with the Board Chairman and the President of the University in execution of Board related projects, initiatives, and mandates, including Board meetings, providing substantive research and analysis, planning, preparation and support and review [from [Bylaw 21.3\(a\)](#)].

In addition, the Secretary and Chief of Staff is the custodian of certain official corporate records of the University; is responsible for planning and staffing all Board and its Committee meetings; executes or attests to certain documents which have been executed on behalf of The Regents; provides direct administrative support to the members of the Board of Regents; prepares minutes of the Regents meetings; and is custodian of Regental and other corporate records.

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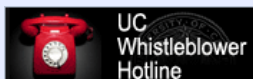
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Sheryl Vacca

Senior Vice President and Chief Compliance and Audit Officer

On September 20, 2007, the Regents appointed Sheryl Vacca, a nationally recognized expert in corporate compliance and auditing, as UC's Senior Vice President and Chief Compliance and Audit Officer.

Reporting directly to The Regents, the Senior Vice President and Chief Compliance and Audit Officer is responsible for developing and overseeing the university's corporate compliance and audit program.

Functioning as an independent and objective office, this position reviews and evaluates ethics, compliance and audit matters within the university, and monitors and reports to the board on itself, the administration, faculty, and employees regarding compliance with rules and regulations of regulatory agencies and university policies and procedures.

Since 2000, SVP Vacca was a director with Deloitte and Touche LLP, a global management consulting firm, serving as a national leader in the firm's internal audit practice area. Prior to Deloitte, SVP Vacca served as vice president for internal audit/corporate compliance officer for the Sutter Health system. While at Sutter, she built and then managed the healthcare system's first enterprise-wide compliance program, which spanned 52 business units, while also being responsible for managing the system's internal audit function. Prior to Sutter, SVP Vacca held senior administrator positions in various healthcare organizations.

SVP Vacca is the recipient of numerous awards, including the Health Care Compliance Association Pinnacle Award for contributions to the compliance profession, and she is regularly invited to speak to national organizations on corporate compliance and audit. Her current board service includes the Health Care Compliance Association, Society of Corporate Compliance and Ethics Advisory Board Member and she is a member of several compliance and audit related professional associations. She is also a member of several professional editorial boards, including the Corporate Compliance Officer, published by Opus Communications. She has published several articles on compliance and auditing.

SVP Vacca holds an undergraduate degree from Eastern Washington University and a master's degree from Texas Woman's University. She also holds a nursing degree and is a registered nurse.

Her resume is available at

http://www.universityofcalifornia.edu/news/2007/vacca_resume.pdf

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General Counsel Robinson

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› Regents of the University of California › Office of the General Counsel › General Counsel and Vice President for Legal Affairs

General Counsel and Vice President for Legal Affairs

Charles Robinson began his tenure as general counsel in January 2007. As general counsel, he is the chief legal officer of the University and reports to the Board of Regents and the President of the University.

Since 2000, Robinson has been vice president, general counsel and corporate secretary for the California Independent System Operator Corp., California's wholesale electric transmission operator based in Folsom, CA. Prior to that, he served as assistant general counsel for Packard Bell in Sacramento, division counsel for the Raychem Corp. in Menlo Park, and he was a partner at Heller Ehrman White and McAuliffe in San Francisco. He holds an undergraduate degree from Harvard University and a J.D. from Yale University

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Acting Treasurer Marie N. Berggren
Investment Professionals (pdf)

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Treasurer of The Regents

Marie N. Berggren

*Chief Investment Officer and Vice President - Investments,
Office of the President and Acting Treasurer of The Regents*



As chief investment officer, Ms. Berggren is responsible for overseeing the University of California investment portfolio.

Before joining the Treasurer's Office in 2002, Ms. Berggren was executive vice president/department head of Venture Capital Investments for Bank One Corporation. While employed at Bank One and its predecessor organization, First Chicago Corporation, she was the senior vice president and department head of the Corporation's Mergers and Acquisitions activity. Prior to that she was the managing director of public equities and director of research for First Chicago Investment Advisors (the predecessor to Brinson Partners). Ms. Berggren earned her MS in management from Stanford University Graduate School of Business, and a BA in economics from the College of New Rochelle.

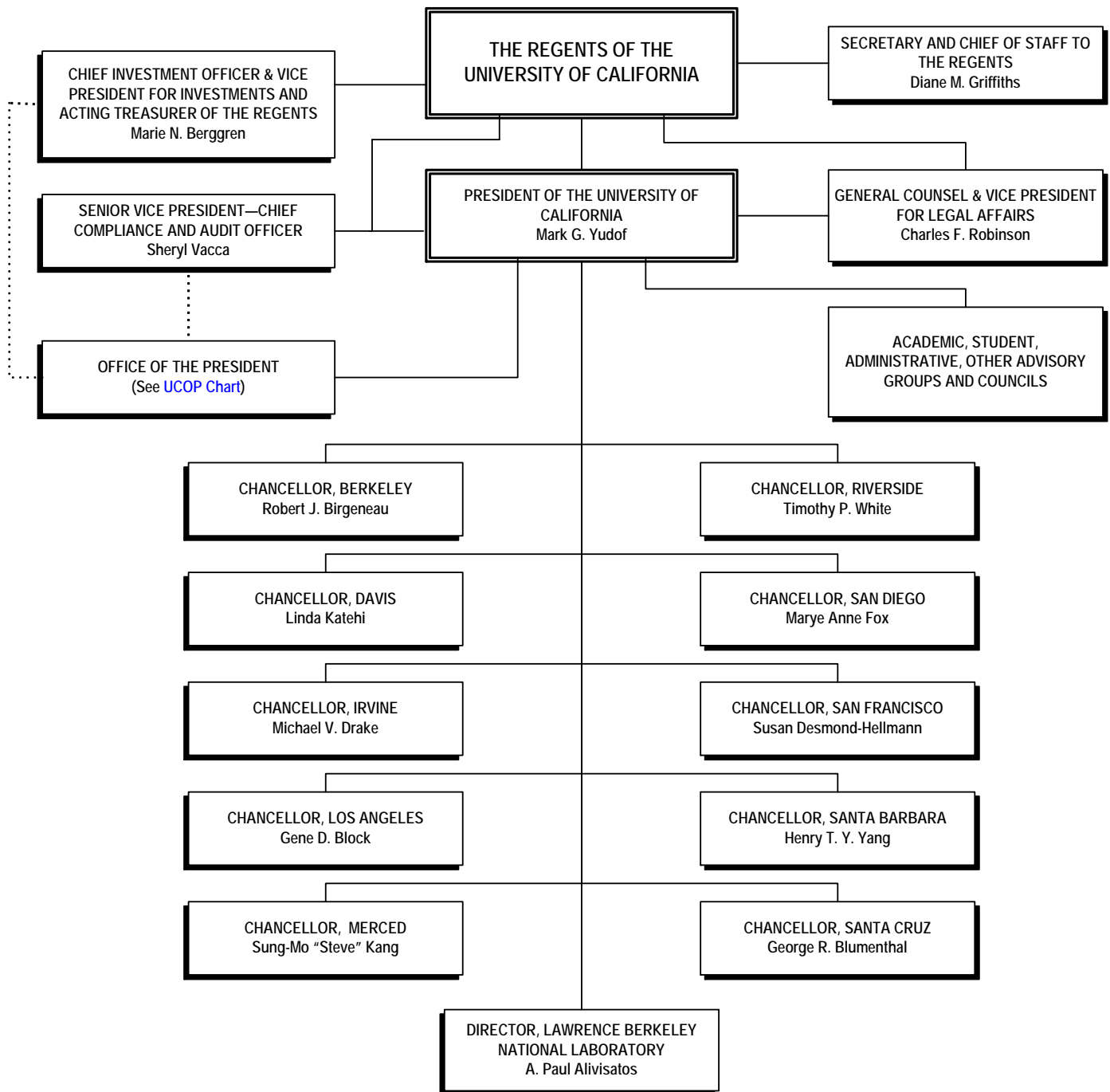
The UC Board of Regents has the fiduciary responsibility under the state constitution for overseeing UC's pension and endowment funds. In 2000, The Regents modified the reporting responsibilities of the treasurer's office and revised asset allocation policies for the university's portfolio. Under this structure, the Treasurer's Office reports to The Regents on the performance of the investment portfolios and to the Office of the President for administrative operations, campus and campus foundation services and its budget.

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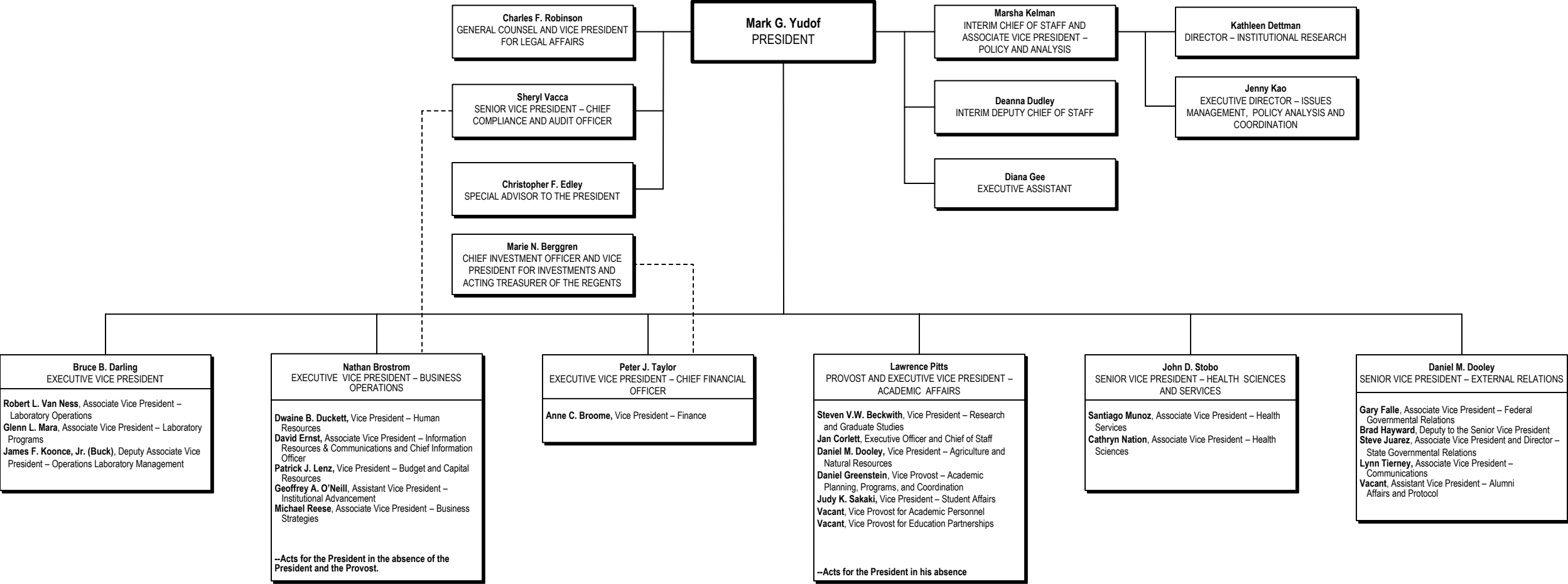
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UNIVERSITY OF CALIFORNIA ORGANIZATION CHART



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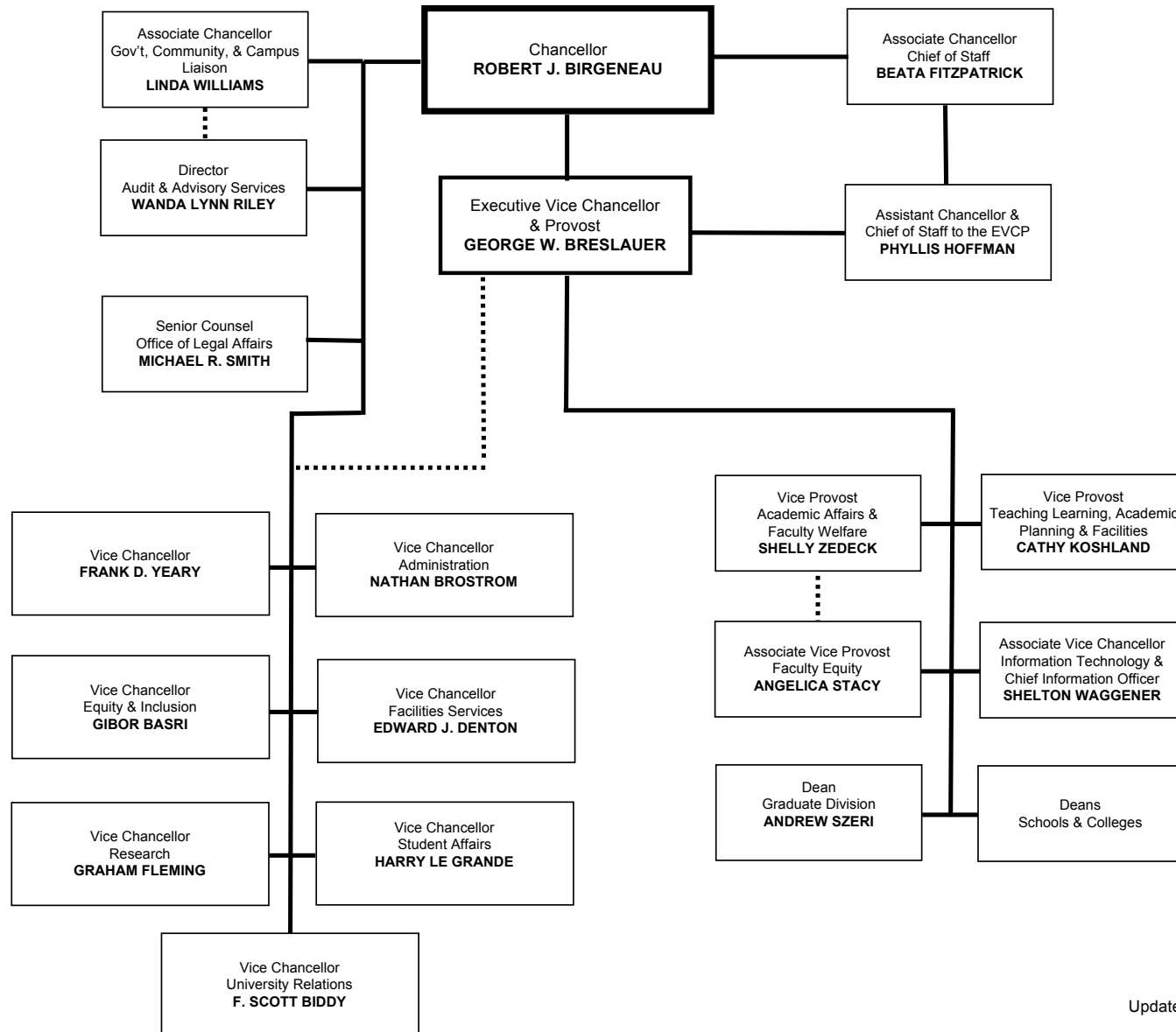
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----- Administrative Oversight by the Executive Vice Presidents

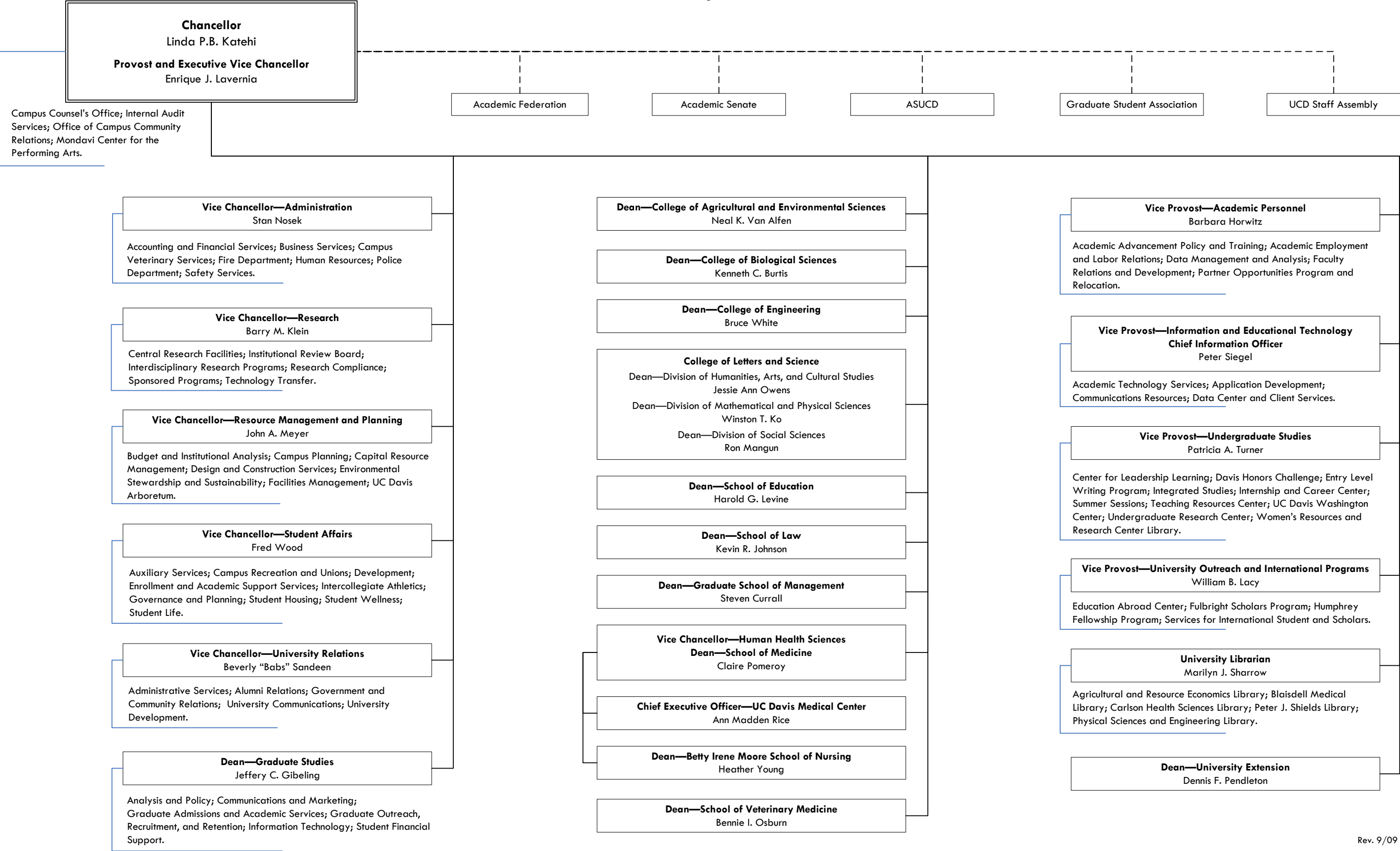
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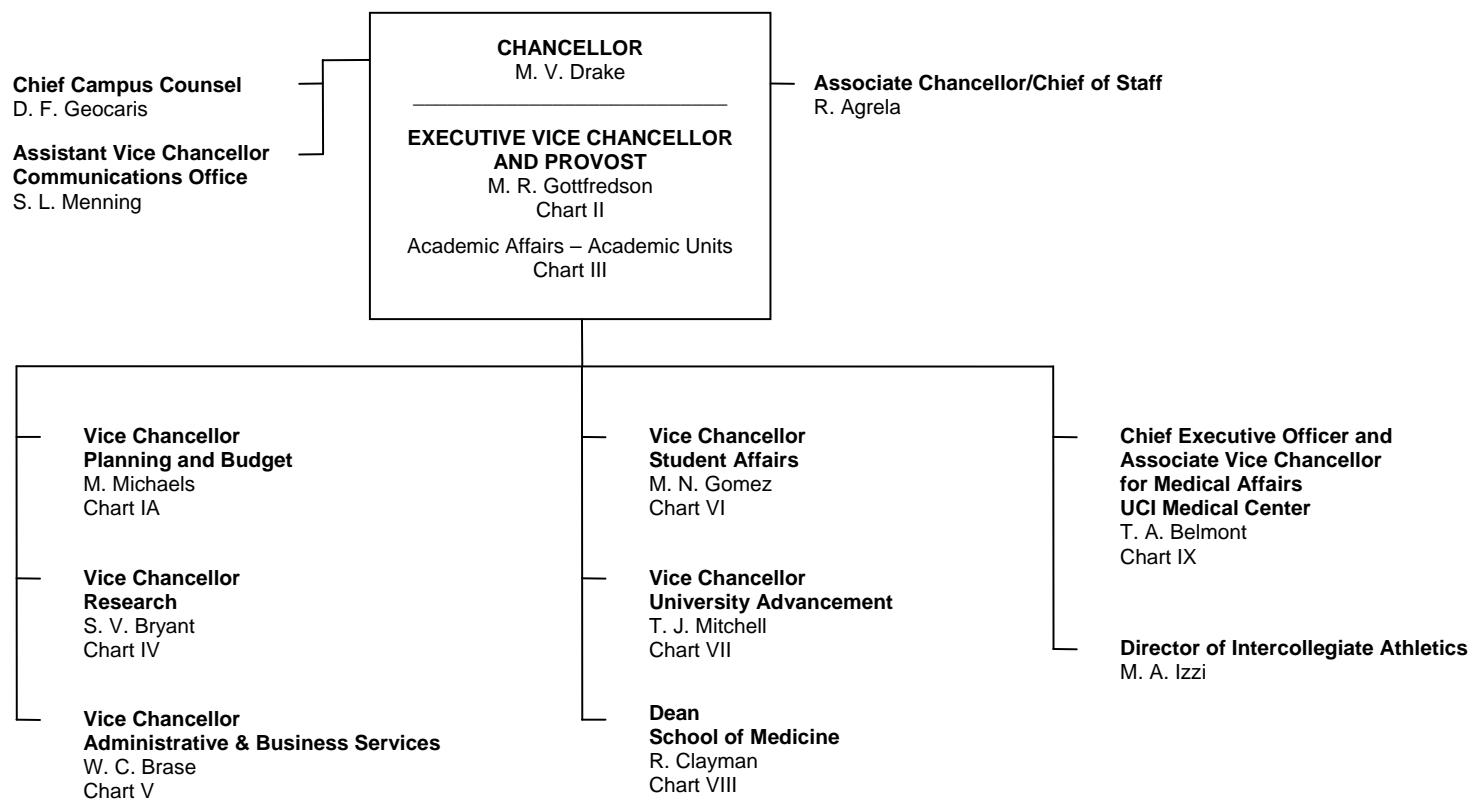
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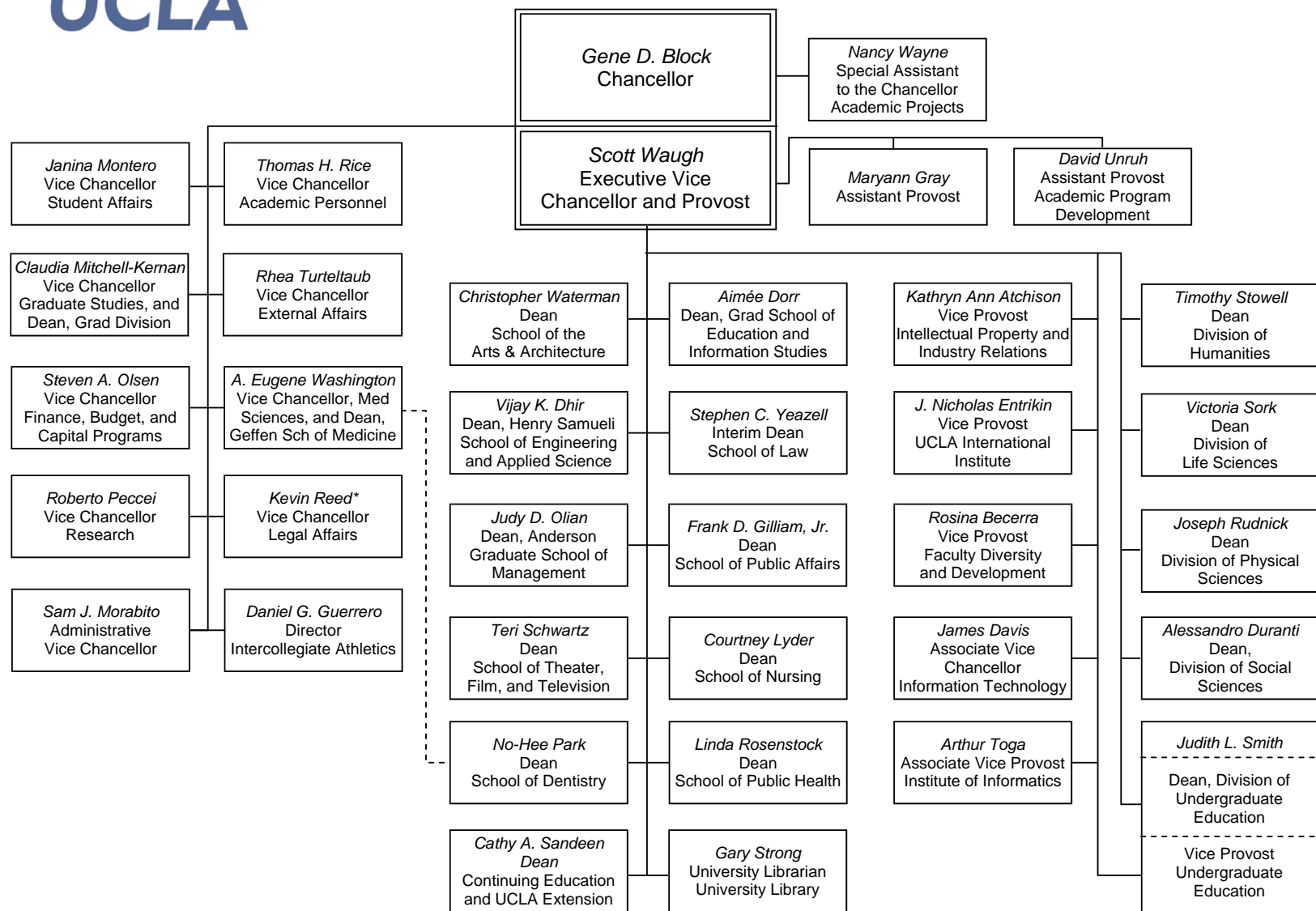
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University of California, Davis
Administrative Organizational Chart



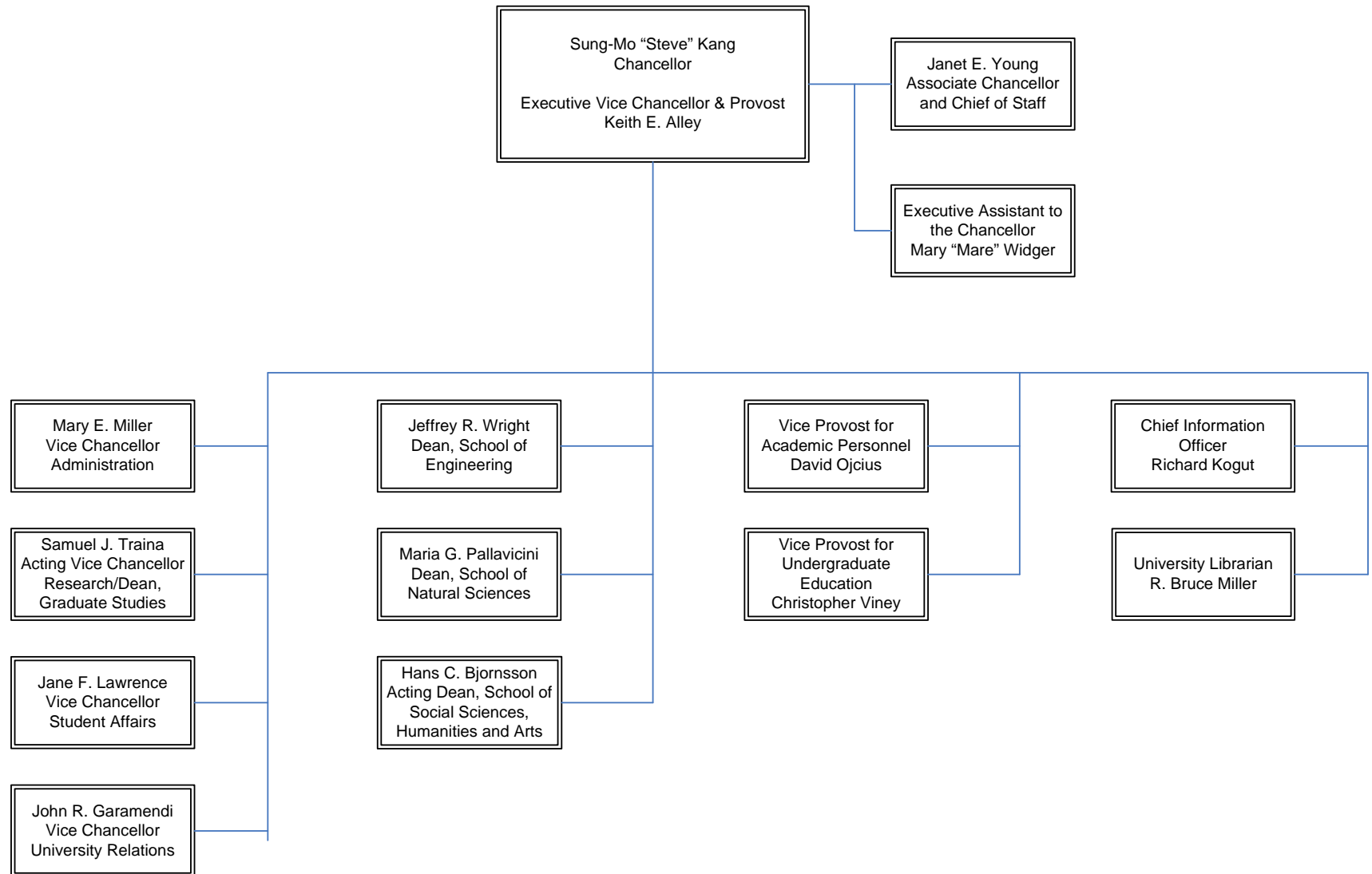


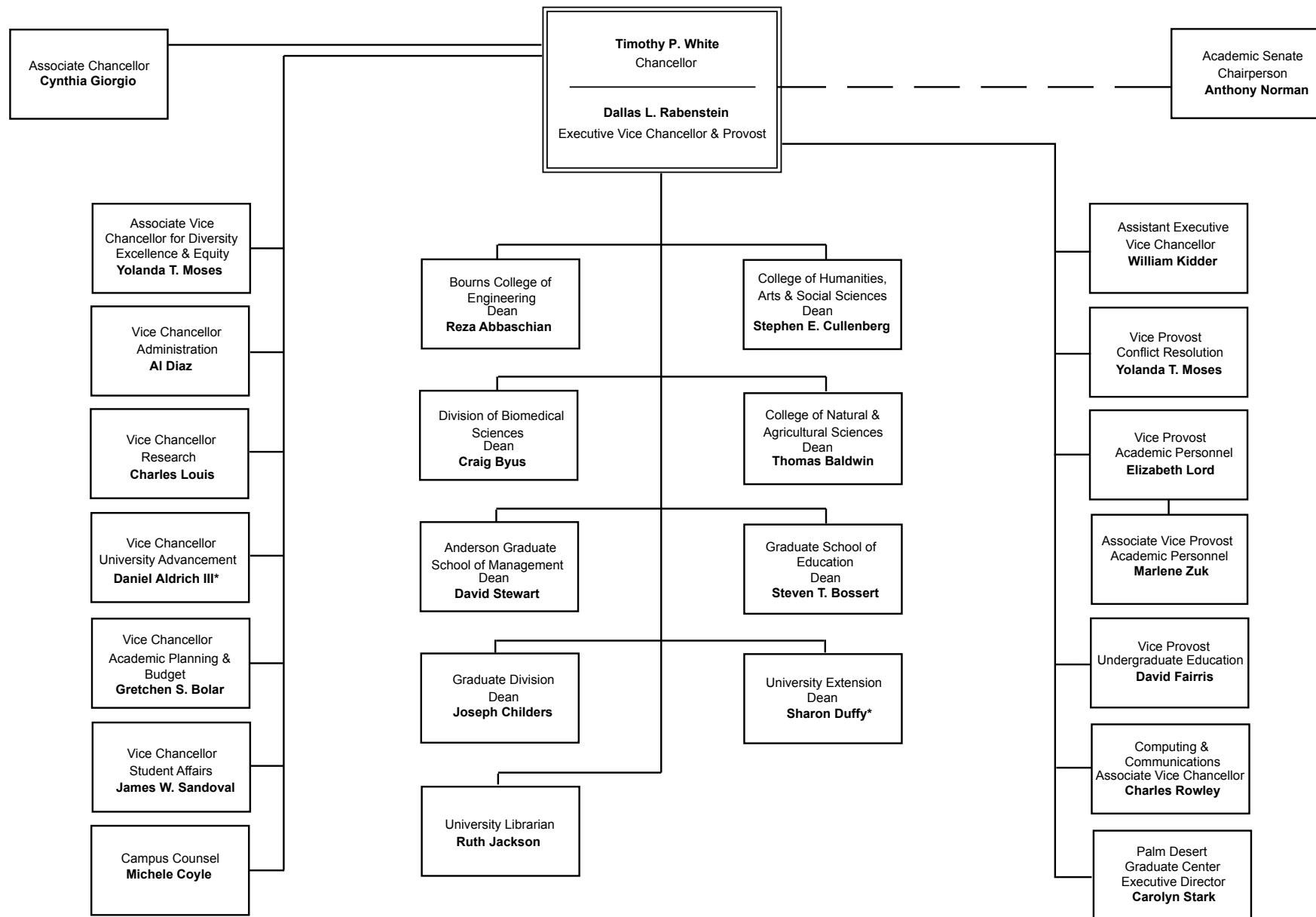
Administrative Organization



* Reports jointly to the Chancellor and General Counsel of The Regents.
Office of Analysis and Information Management (01FEB2010)

University of California, Merced Chancellor and Senior Administration

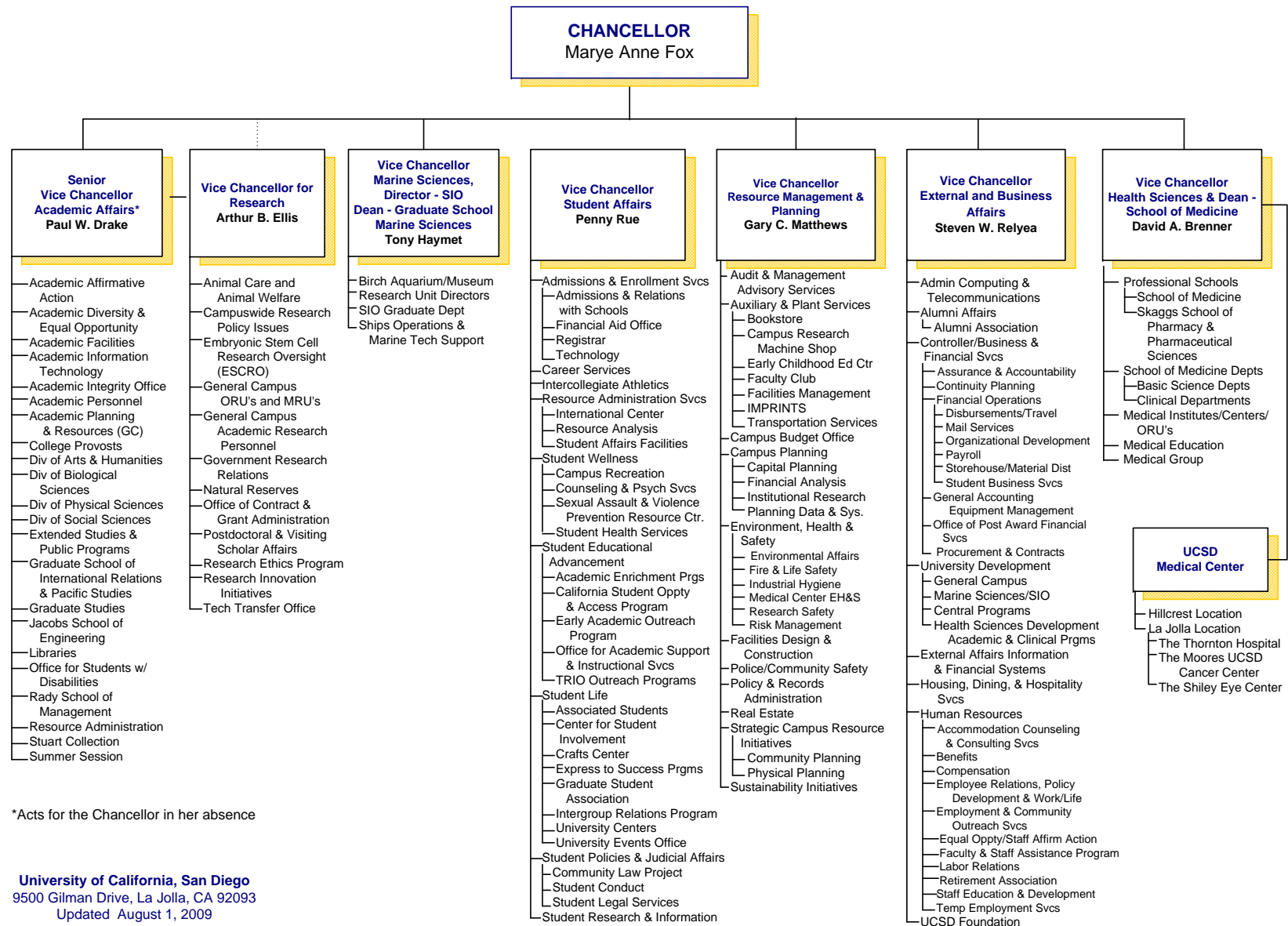




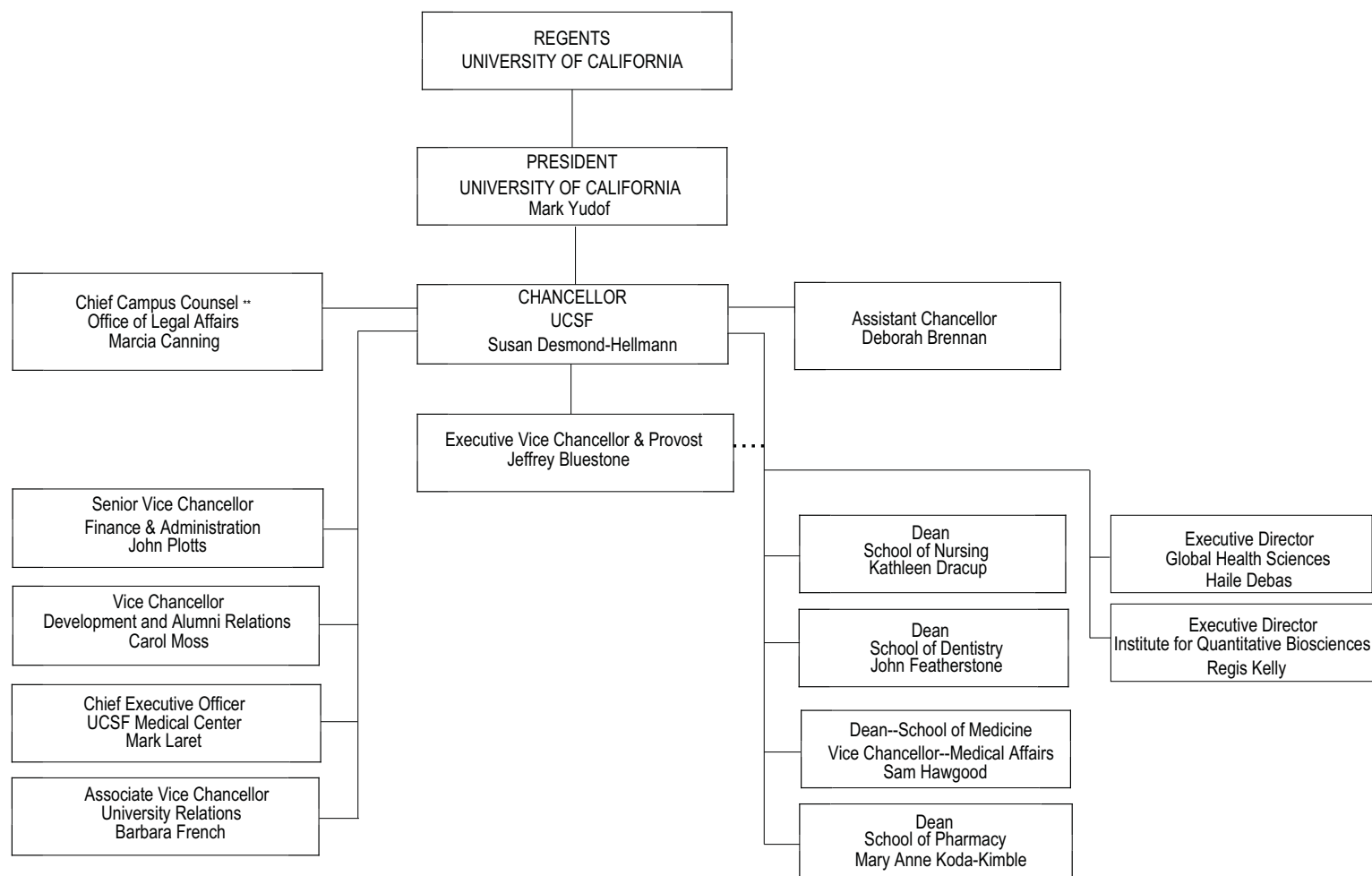
UNIVERSITY OF CALIFORNIA RIVERSIDE: CAMPUS ORGANIZATION CHART

* Interim

UC SAN DIEGO ADMINISTRATIVE ORGANIZATION CHART



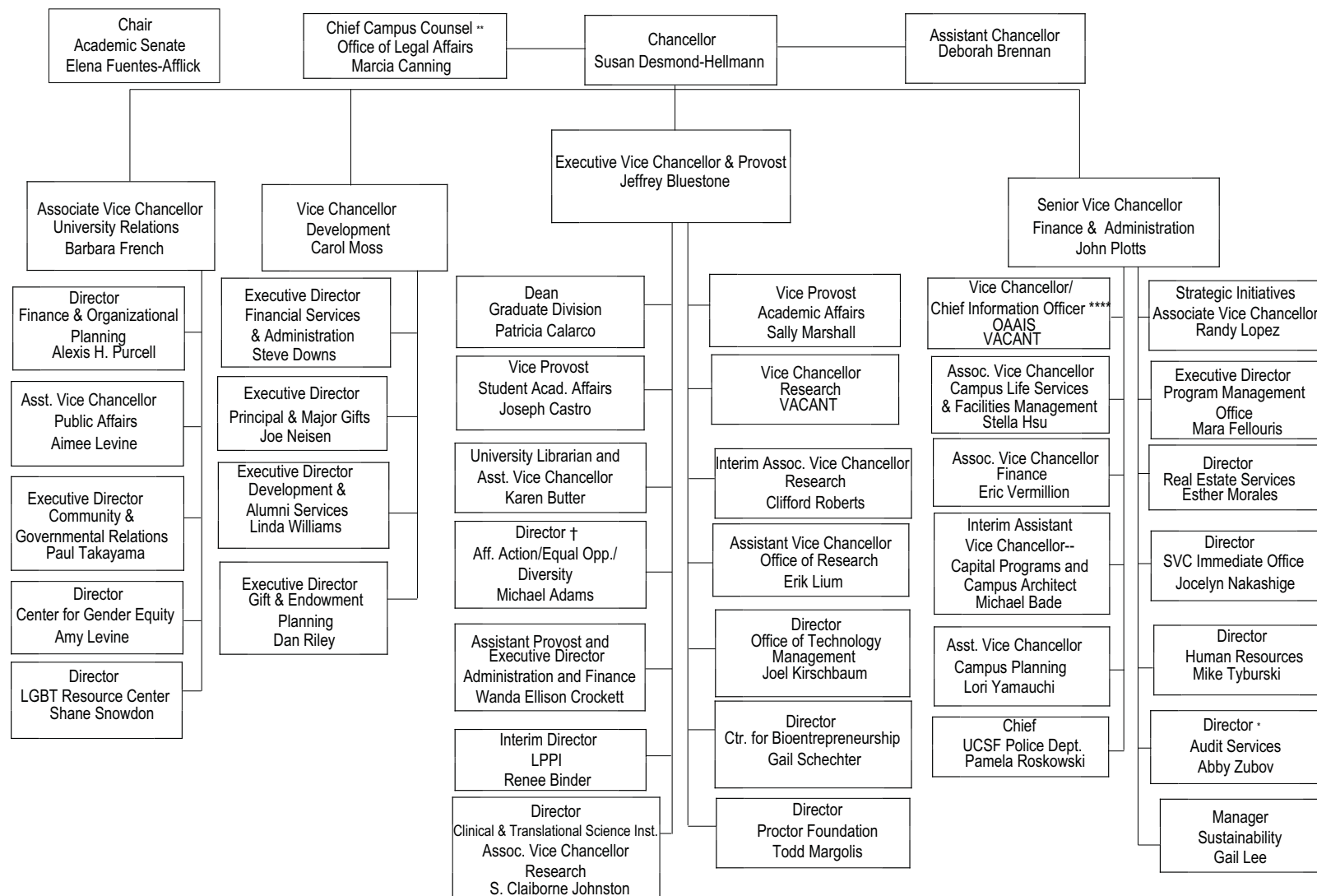
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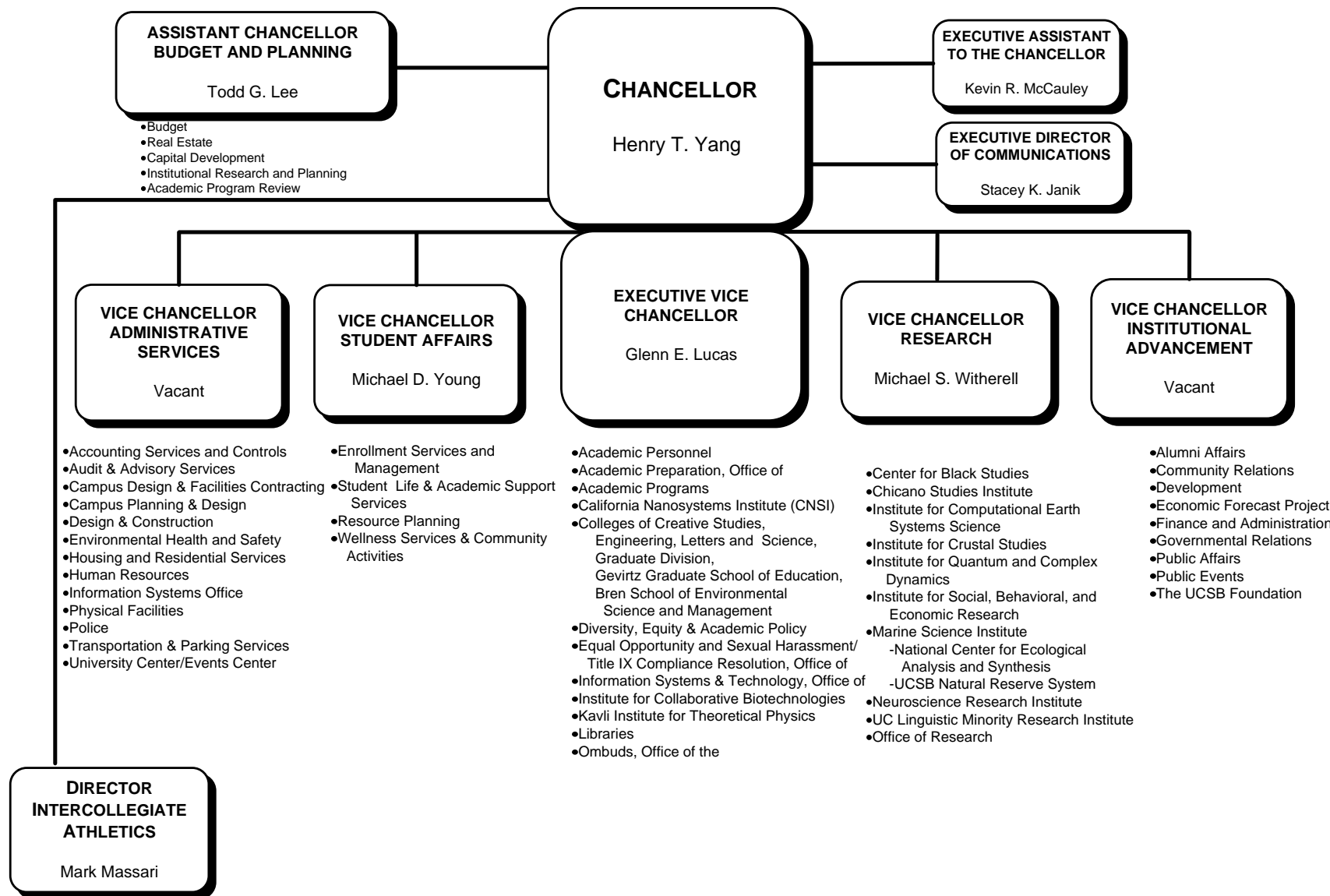
UNIVERSITY OF CALIFORNIA, SAN FRANCISCO

CENTRAL CAMPUS ADMINISTRATION



* Also reports to the University's SVP--Compliance & Audit and has direct access to the Chancellor and The Regents.
 ** Also reports to the General Counsel/Vice President--Legal Affairs, Office of the President and has direct access to the Chancellor.
 **** Active recruitment underway (will report to the Executive Vice Chancellor and Provost upon completion of recruitment).
 † These units are compliance offices with direct access to the Chancellor as needed.

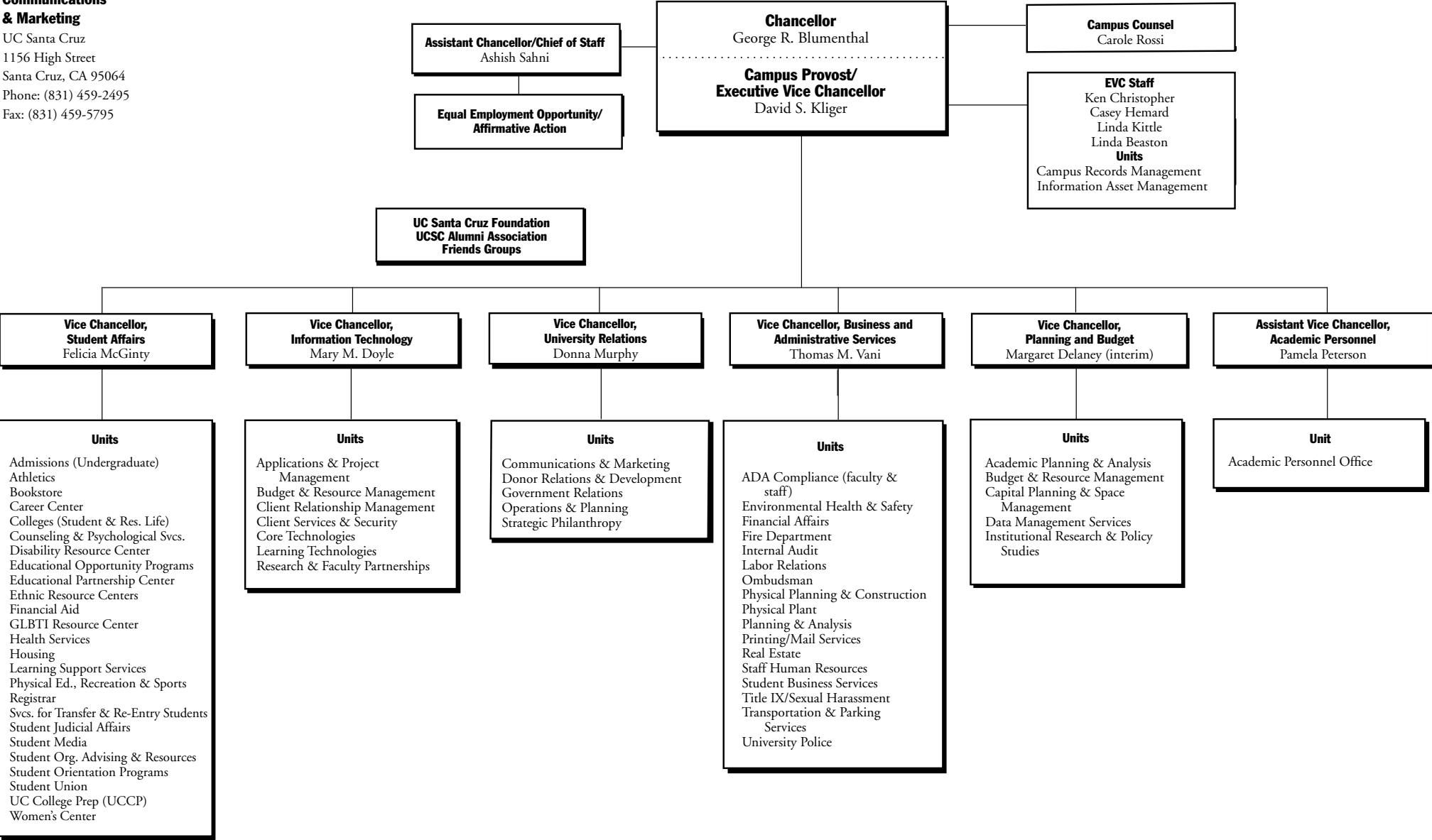
CHANCELLOR



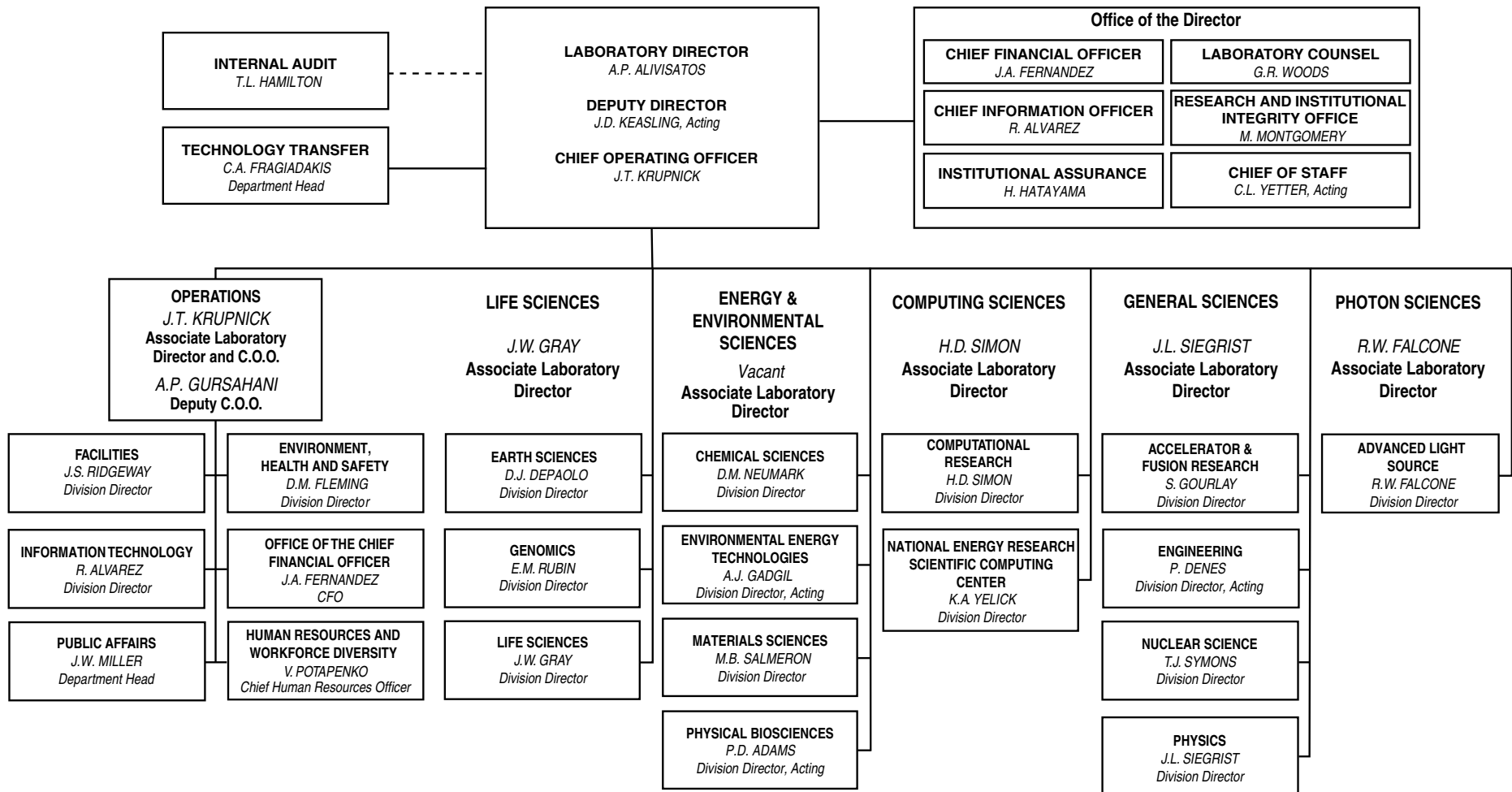
UC SANTA CRUZ: ADMINISTRATIVE ORGANIZATION

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