

APPROVAL AUTHORITY MATRIX

ICL = \$281,000 Approved by the President on October 13, 2010 per delegation of authority from the Regents' on September 2008

Effective: December 31, 2010

| Approval Authority | Campus/Lab Non-SMG ¹ Direct Report to Chancellor or LBNL Dir | UCOP ² Non-SMG Direct Report to President | Campus/Lab Non-SMG Other than Direct Reports to Chancellor or LBNL Dir | UCOP Non-SMG Other than Direct Reports to Pres | SMG ³ |
|--|--|---|--|---|------------------|
| TCC > \$281 K | Actions to be reported in the Bi-Monthly Transaction Monitoring Report following approval. | | | | |
| Actions w/in policy approved by: | President | Regents | Chancellor/ LBNL Dir | President | Regents |
| Actions outside policy approved by: | Regents | Regents | President | Regents | |
| TCC >\$218K and =/\$281K | Actions to be reported in the Bi-Monthly Transaction Monitoring Report following approval. | | | | |
| Actions w/in policy approved by: | President | Regents | Chancellor/ LBNL Dir | President | Regents |
| Actions outside policy approved by: | President | Regents | Chancellor/ LBNL Dir | President | |
| TCC =/\$218K | Approval is under local authority. The action is <u>NOT</u> included in the Bi-Monthly Transaction Monitoring Report | | | | |

Total Cash Compensation (TCC) – Total Cash Compensation is calculated based on the calendar year. The chart below provides a list of compensation components that is used in determining the TCC for ICL purposes.

| Compensation Components Used to Calculate (TCC) | Compensation components <u>NOT</u> included to calculate (TCC) |
|---|--|
| <ul style="list-style-type: none"> Annualized Base Salary⁴ Senior Management Supplemental Benefit Annualized auto allowance Annualized stipend amount Maximum potential incentive payout Other Health Science Compensation Program Pay Educational expense reimbursements/allowances Other Cash Compensation Relocation amount scheduled to be paid for the year action is proposed. Do not include the total amount if paid in installments. | <ul style="list-style-type: none"> Reimbursements for moving expenses House-hunting trips Temporary housing reimbursement/allowance Corporate board service (OPA Approval requirements apply) Payment in lieu of sabbatical leave or vacation leave Eligibility to participate in the UC Home Loan Program(s) Administrative Fund Allocation Compensation received for outside professional activities (OPA approval requirements apply) |

The Regents will continue to approve the following:

- All interim slotting recommendations for assigning SLCG grades to positions.
- Establishment and/or revision to SLCG grades and ranges.
- Annual goal-setting for obtaining, prioritizing, and directing funds to achieve market comparability for all groups of employees.
- Determination of annual salary increase budget, including priorities for addressing specific groups of employees.
- Approvals pertaining to Officers of the University shall be handled in consultation with the HR – Programs & Strategies unit to ensure approvals are in conformance with the Standing Orders and 1-over-1 approvals.
- Separation agreements/settlements in excess of \$100,000

Retroactive Actions: Outside of Policy

- Retroactive actions will be considered “outside of policy” and subject to heightened review, per the chart above. A retroactive action is any action that is effective prior to the first of the month in which the action is approved. To get a better understanding of what constitutes an exception to policy for retroactive actions, please refer to the chart below.

| | <u>Retroactive Action</u> | <u>Within Policy</u> |
|----------------|---------------------------|----------------------|
| Approval Date | August 15, 2010 | July 28, 2010 |
| Effective Date | July 1, 2010 | July 1, 2010 |

¹ Non SMG:

- Staff and Administrative employees not exclusively subject to the provisions of the Academic Personnel Manual.
- Staff and administrative employees whose positions have been slotted in the SLCG salary range structure.
- Other Specified Employees (OSE) as designated by the Office of the President Human Resources, such as Athletic Directors and Coaches.

² UCOP: Shall include offices of the Regents for this purpose.

³ SMG: References to Senior Management Group employees include those serving in an acting SMG capacity. All SMG actions regardless of location and total potential cash compensation are subject to Regental review and approval with the exception of some actions e.g., minor title change. For the SMG actions that do not require Regental approval, it will have to be disclosed in the Bi-Monthly Transaction Monitoring Report.

⁴ Annualized Base Salary – If employee has a UC appointment at less than 100 percent time with no other appointments at UC, the total cash compensation at that appointment rate will be used and not the conversion to derive a “full time equivalent” amount, e.g. at 100 percent time.