I. CHAIR'S REPORT
   A. Senate Cabinet Actions and Discussions
      Meeting(s) – March 19 & April 2, 2013

II. CONSENT ITEMS
   A. Draft Minutes – February 12, 2013
      2A (pgs. 3-5)
   B. Draft Minutes – March 12, 2013
      2B (pgs. 6-9)

III. SUBCOMMITTEE ON EMERITI AFFAIRS
     A. Status Report

IV. FACULTY WELFARE ISSUES UNDER REVIEW
    A. Graduate Student Mentorship
       Issue: Graduate student membership has become a recent topic of concern. A review conducted by a national council recently concluded graduate students do not receive enough training in communication, teamwork, and understanding of the transferability of their skills. Some of these exist here at UC Irvine. How do we promote and incentivize mentorship on our campus?
       Action/Deadline: None

V. UCI SENATE ISSUES UNDER REVIEW

VI. UC SENATE ISSUES UNDER REVIEW
    A. UC Review of Proposed Revisions to APM Section IV, Salary Administration (APM – 600 Series)
       Lead Reviewers: FW Subcom. - Meenakshisundaram, Dalton, Guidotti, Olivieri
       Issue: Request for Formal Systemwide Review andComment
       Action/Deadline: Comments/Memo to Senate Chair prior to May 7 Cabinet Mtg.

VII. STATUS REPORTS
    A. University Committee on Faculty Welfare (UCFW)
       Gopi Meenakshisundaram, UCFW Rep
    B. University Committee on Affirmative Action and Diversity
       Grace Tonner, UCAAD Rep
    C. University Committee on Academic Freedom
       Jean Daniel Saphores, UCAF Rep
       (March 21, 2013)
    D. Academic Personnel
       Joan Tenma, Director, AP
    E. Equal Opportunity & Diversity Status Report
       Gwen Kuhns Black, Associate Director, OEOD
F. Human Resources/Benefits Status Report  
Melody McCulloch, Benefits Supervisor  
(Alternate: Kellie Jones)

VIII. INFORMATION ITEMS  
(Includes correspondence generated from previous meeting)

<table>
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<th>Item</th>
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<tbody>
<tr>
<td>A. Status Report for 2012-13</td>
<td>8A (pgs. 95-97)</td>
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<tr>
<td>B. APM – 430, Visiting Scholars Memo</td>
<td>8B (pg. 98)</td>
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<tr>
<td>C. APM – 700, Leaves of Absence Memo</td>
<td>8C (pg. 99)</td>
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<tr>
<td>D. UC’s Undergraduate Financial Funding Policies and Strategies Memo</td>
<td>8D (pg. 100)</td>
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<td>E. NSTP Draft Implementation Procedures Memo</td>
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<td>F. NSTP Draft Implementation Procedures</td>
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IX. NEW BUSINESS

X. ADJOURNMENT

Distribution

<table>
<thead>
<tr>
<th>Gopi Meenakshisundaram, Chair</th>
<th>Emeriti Members: (3)</th>
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<tr>
<td>Bruce Blumberg</td>
<td>Alan Elias</td>
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<tr>
<td>Zhongping Chen</td>
<td>Julian Feldman</td>
</tr>
<tr>
<td>Teresa Dalton</td>
<td>William Parker</td>
</tr>
<tr>
<td>Lucile Faurel</td>
<td>(UCIEA President is Ex-Officio to Emeriti Subcom.)</td>
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<tr>
<td>Michelle Garfinkel</td>
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<td>Patrick Guidott</td>
<td>Representatives:</td>
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<td>Sabee Molloi</td>
<td>Ashlie Lobos, ASUCI Rep</td>
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<tr>
<td>Vincent Olivieri</td>
<td>Linda Murphy, LAUC-I Rep</td>
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<td>Nasrin Rahimieh</td>
<td>Victor Quintanar, AGS Rep</td>
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<td>Jean Daniel Saphores</td>
<td>Consultants:</td>
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<td>Annette Schlichter</td>
<td>Gwen Kuhns Black, OEOD</td>
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<td>Grace Tonner</td>
<td>Melody McCulloch, Human Resources</td>
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<td>Kyoko Yokomori</td>
<td>Alternate: Kellie Jones</td>
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<td>Joan Tenma, Academic Personnel</td>
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c: Mary Gilly, Senate Chair

A Reminder:
Members should be prepared to lead discussions on topics for which they are listed on the agenda. For more complex issues, the reviewers may want to engage in an email dialogue or meeting prior to the CFW meeting. Senate Councils are working to improve the level of advice and counsel that they offer, and this step will improve the quality of CFW’s discussions. Following the Council’s discussion, and if a written response is required, a reviewer may be asked to prepare a draft memo for the Chair’s signature. To promote careful review, each agenda item will be distributed to the designated reviewers and/or subcommittee a week prior to the meeting.

Agendas, minutes, and enclosures are for your information only. Please do not share the document(s) with others.
I. CHAIR’S REPORT
Discontinuation of Arts/Humanities Undergraduate Major
The discontinuation of the Arts/Humanities Undergraduate major was presented to Cabinet with unanimous support from the faculty of Arts and Humanities. The Cabinet endorsed it and it was passed by the Assembly.

UCOE Copyright Agreement
UCOE is asking for non-exclusive rights to the online material that faculty develop. Faculty have expressed a problem with this because this right allows UCOE to edit and update material given by the faculty. Faculty feel it is an infringement on intellectual property and academic freedom. Discussions are still underway. UCOE has shared it is not mandatory for faculty to participate therefore faculty can chose not to participate if they do not agree with the agreement. It is still questionable whether or not this will be sustainable without long-term faculty support raising questions about the business model and funding.

UC President Search Criteria
Each campus received a letter asking for search criteria. There is nothing in writing saying there should be faculty participation. However there is a committee collecting this information and will recommend this would be a good criteria for the search. The committee is comprised of regents with two advisory roles with the Senate Chair and student regents. UC Irvine criteria are being discussed. If any CFW members have a recommendation, please contact Chair Meenakshisundaram to be passed onto the Senate Cabinet.

CEP Change in Title for Lecturers
A proposal was introduced by CEP asking for a change in title for lecturers from Lecturers with SOE to Teaching Assistant Professors or Teaching Associate Professors. The change was requested by the lecturer title is unique to the UC system and is not recognized at other schools. The Senate Cabinet rejected the proposal.

II. CONSENT ITEMS
The minutes from November 27, 2012 and January 15, 2013 were approved.

III. SUBCOMMITTEE ON EMERITI AFFAIRS – Status Report
Retirement Counseling
There has been discussion UCOP will cease funding of retirement counseling at each campus which means each campus will have to decide how to handle funding. Members noted the importance of maintaining an in-house retirement counselor. Systemwide currently has a retirement processing center and UC Path will centralize routine retirement questions but this does not address the more in depth needs of retirees. The Subcommittee on Emeriti Affairs will update the Council once more information becomes available.

Center for Emeriti and Retirees
Jeri Frederick, Director of the Center for Emeriti and Retirees was introduced to the Council. The Center for Emeriti and Retirees is a part of Human Resources and handles all matters pertaining to emeriti and retiree benefits.

IV. FACULTY WELFARE ISSUES UNDER REVIEW
A. CFW sites.uci/scfw Blog
Members were informed they now have the ability to receive notifications when new comments are posted. Members were directed to select a box towards the bottom of any post that says notify me
of follow-up comments via e-mail. OIT is still researching options for responding to comments via e-mail and options for members to be redirected to their link destination after logging into the site.

**B. UCI Mental Health Initiative**
The UCI Mental Health Initiative met in January. Three recommendations were forwarded from CFW. They included having faculty chairs be trained to deal with mental health issues, offering mental health and stress reduction programs for faculty, and getting more resources for faculty such as having a point of contact in each school similar to the structure of the equity advisors. Administration has agreed to fund chair training and it will begin Spring Quarter. AP will be working closely with Vice Provost Herbert Killackey on coordination and implementation.

**C. Smoke Free Task Force**
Guests Joseph DiMento and Ramona Agrela from the Smoke-Free Task Force presented to CFW on the goals and purpose of the smoke-free policy implementation. In January of 2012, President Yudof sent out a letter regarding the tobacco use. He concluded the UC system was ready to demonstrate leadership in reducing tobacco use and exposure to second hand smoke by creating a smoke-free environment. Each chancellor was asked to form a committee charged with the task of implementing a smoke-free policy within the following two years. The chancellors were asked to craft policies to fit their individual campus needs inclusive of the following elements: smoke-free means smoking, the use of smoke-less tobacco products, and the use of unregulated nicotine products will be strictly prohibited in indoor and outdoor spaces including parking lots and private residential paces in the medical center campuses; applies to all UC faculty; enforcement should be primarily educational with an emphasis on cessation resources. UC Irvine is more focused on education while other campuses have chosen to focus on enforcement. The UC Irvine committee consists of members from CFW, administration, graduate students, and undergraduate students.

The policy does not apply to University Hills but does apply to student housing. Approximately 7% of the campus community are active smokers. At this time, the committee is focused on the hearing phase, listening to feedback from the campus community. The first part of the hearing phase was to collect comments from the campus community via an e-mail address that was distributed. The second part of the hearing phase will begin on February 20 with a townhall meeting.

Members expressed concern regarding the section of the policy which prohibits the use of items such as nicotine patches and e-cigarettes that have no secondary effect on adjacent individuals and would in fact help smokers to stop smoking. Additional concern was expressed regarding the amount of time and resources spent on this policy when the campus has such a low percentage of smokers. Recommendations were made to allow the use of items with no secondary effect on adjacent individuals and to explore wellness options with financial incentives. Members also recommended the focus be expanded from educational to cultural in order to ensure the long term effects which motivated the creation of the policy.

**D. Proliferation of Administration**
Statistics were circulated regarding the growth of administration compared to the lack of growth with faculty and professional staff. Members expressed concern administration may be growing at a disproportionate rate to faculty and staff. It was noted that some reports lump many employees into the same categories yielding misleading results. For example, staff, professionals and administrators in areas such as the hospital, housing and/or bookstore employees might all be lumped into the “administrators” category. Council members expressed interest in working the Council on Planning and Budget (CPB) to conduct an analysis of the numbers and look deeper into the data. Council members also expressed interest in examining ways to improve the life of individual faculty.
Action
Chair Meenashisundaram will gather information regarding faculty life and staff support. Chair
Meenakshisundaram will also speak with the Senate Cabinet regarding the possibility of working
with CPB to conduct a data analysis.

V. UCI SENATE ISSUES UNDER REVIEW
None

VI. UC SENATE ISSUES UNDER REVIEW
None

VII. STATUS REPORTS

Faculty Welfare Subcommittee – Gopi Meenakshisundaram, Rep to UCFW
Governor Involvement with UC
The governor has attended the regents meetings and wants to attend all meetings related the UC
President search. It is unclear at this time how the governor’s priorities will shape UC’s priorities.
The governor has proposed $10 million for technology enhanced education. Technology enhanced
education would involve using technology in a classroom setting but have in-class examinations and
faculty availability for in-person student meetings. Systemwide is working to ensure if the funding
is granted, it be distributed among the campuses for their respective use.

UC Retirement Plan (UCRP)
UCRP currently has the employee contribution at 6.5%. Plans are now in motion to increase the
employee contribution to 8% and the employer contribution to 14%. If this happens, UCRP will not
reach 95% until 2039. Initially the employer contribution was supposed to ramp up to 18%
temporarily and then decrease until it reached 9-10% allowing the fund to reach 95% by 2029. Each
of the UC campus Executive Vice Chancellors and Provosts have shown resistance to the 18% and
believe it is not attainable unless campus budgets are cut. This item is still under discussion, more
information will be shared as updates are released.

Total Remuneration Study
The Vice President of UCOP HR, Dwaine Duckett has shared there are insufficient funds to carry
out a total remuneration study for faculty and staff. The suggestion has been raised to conduct a
modified study comparing UC faculty with other universities to reduce the cost.

Affirmative Action Subcommittee – Grace Tonner, Rep to UCAAD
No Report.

Academic Freedom Subcommittee – Jean-Daniel Saphores, Rep to UCAF
No Report

Academic Personnel – Joan Tenma
No Report

Equal Opportunity and Diversity Status Report – Gwen Kuhns Black
The Campus Climate study closes on February 14. The response rate was at 24.9%. The goal was
to have a response rate closer to 30%. Members were encouraged to reach out to undergraduate and
graduate students to help increase participation. If the goal of 30% is not met by February 14, it is
possible the survey will run an additional week.

Human Resources Status Report on Benefits – Melody McCulloch
No Report
VIII. INFORMATION ITEMS
None

IX. NEW BUSINESS
A request was made to include the proliferation of administration on the February agenda.

X. ADJOURNMENT: 5:38 P.M.

Submitted by Charlene Mandau
I. CHAIR’S REPORT

Disestablishment of Plant Biology Program & Establishment of B.S. in Human Biology

Proposals to disestablish the B.S. in Plant Biology and to establish a B.S. in Human Biology were presented by CEP. The Cabinet voted to approve the disestablishment of the B.S. in Plant Biology. It will move forward to the next Assembly agenda. The Cabinet requested additional details for the establishment of a B.S. in Human Biology and still waiting for a response from the School of Biological Sciences.

UCI Branding

Ria Carlson, Associate VC of Strategic Communications gave a presentation on strategic planning. The focus was on developing other income streams and the need to establish a UCI brand in order to make the campus more attractive to students, faculty, and donors to help work towards this end. The goal to establish a brand is centered on the UCI’s 50th anniversary and plans are in motion to invite President Barack Obama.

Fundraising

University Advancement is in the middle of the $1 billion campaign. At present, the campus has raised $800+ million towards this goal. Advancement has hired an outside company to analyze our database of contacts and prioritize which groups to target for fundraising by analyzing which income groups have donated, how much could they potentially donate, and what’s their proclivity to donate. The study centered on families, not corporations. The results showed a potential to receive $250 million in funding over five years. Advancement believes they can tap this potential funding pool if they hire additional staff to focus on developing relationships with the potential donors.

Negotiated Salary Trial Program

Joan Tenma is helping to coordinate the draft implementation procedures and act as a bridge between the Senate and the Executive Vice Chancellor and Provost’s office. The draft implementation procedures are currently under review and will be released to all of the schools once they are final. UC San Diego, UC Los Angeles, and UC Irvine will all be participating in the trial program. UC San Diego has already begun implementation. A committee has been formed to work on the draft implementation procedures. The committee is comprised of both senate and campus representation. Chair Meenakshisundaram is the Senate liaison on the group and has forwarded feedback from Senate leadership and CAP on the draft implementation procedures. Copies of the draft procedures and Senate feedback will be posted to the blog for Council members to review.

II. CONSENT ITEMS

The minutes from February 12, 2013 meeting will be distributed with the March 12 meeting minutes.

III. SUBCOMMITTEE ON EMERITI AFFAIRS – Status Report

None

IV. FACULTY WELFARE ISSUES UNDER REVIEW

None

V. UCI SENATE ISSUES UNDER REVIEW

None
VI. UC SENATE ISSUES UNDER REVIEW

A. UC Final Review of Proposed Revision to APM 430, Visiting Scholars

Issue
The Council was asked to review and comment on the final proposed revisions to APM – 430, Visiting Scholars. The proposal is responsive to campus requests to create a new title to accommodate domestic and international visitors who are students enrolled in universities in the United States and abroad, and academics employed at other institutions who are visiting the University of California for short-term academic or cultural exchange experiences.

Discussion
Council members were in favor of the proposal. Members noted the proposal deals with non-UC employees especially when it specifies 0% pay for those in this title, while the purpose of the APM is to list the rules and regulations that govern employees. Council members felt if these visitors are added to the payroll system (with 0% salary), and thus treated as employees, there will be several benefits that follow including library privileges, a university/campus email id, and liability insurance. Members also felt in the absence of such clear intention of adding the visitors under this new title to the payroll system, it is difficult to evaluate the advantage of this new title and suggested this intention be made clear in the redrafting of APM-430.

Action
The Council’s comments will be forwarded to the Senate Chair.

B. UC Final Review of APM 700, Leaves of Absence

Issue
The Council was asked to review and comment on the final proposed revisions to APM – 700, Leaves of Absence. The proposal is designed to prompt an appointee who does not return to their appointment following the expiration of a leave of absence, or if he/she chooses to be absent from that appointment without obtaining approval for a leave, to take affirmative steps to counter the University’s presumptions that the appointee’s intention is to resign the University appointment.

Discussion
Council members noted most of the few small, yet important changes suggested by the various campuses were ignored while even though the letter says they were incorporated. Examples of these include increasing the time from 30 days to 60 or 90, adding language explicitly stating that the policy should not apply in cases where the University knew, or should have known the faculty member was unable to communicate, and explicitly stating that the faculty member who could prove that s/he was unable to communicate would be reinstated. Council members did not feel they could support the policy as written and questioned the motivation for its design and implementation without these important changes and additions.

Action
The Council’s comments will be forwarded to the Senate Chair.

VII. STATUS REPORTS

Faculty Welfare Subcommittee – Gopi Meenakshisundaram, Rep to UCFW
Teaching Load
The governor would like for all faculty to teach more courses. The average number of courses taught has increased from 5 to 5.5 over the past four years. The Senate is working President Yudof to craft an argument to the governor reasoning why teaching loads should not be increased inclusive of examples like student credit hours already increasing which by default increase teaching loads.
Additionally, if the number of courses taught is increased, we will also need to increase our infrastructure which would require additional funding.

**Total Remuneration Study**
Dwaine Duckett, Vice President of UCOP Human Resources, in response to the LAO report on Faculty Recruitment and Retention at UC, has agreed to do a total remuneration study. The study will include faculty, staff, and the health sciences faculty. Additionally, he would like to do a regular study once every two years.

**UC Care**
Plans for UC Care, a UC self-insurance plan, are underway. It is spearheaded by the UCOP risk management group who is reviewing bids for benefit manager. Once this process is complete, they will receive a detailed cost proposal. We will know by June whether or not the program will be offered in 2014.

**Affirmative Action Subcommittee – Grace Tonner, Rep to UCAAD**
No Report.

**Academic Freedom Subcommittee – Jean-Daniel Saphores, Rep to UCAF**
No Report

**Academic Personnel – Joan Tenma**
UC has received an Advance Paid grant for faculty mentorship. The next roundtable for discussion will be held at UC Riverside and will focus on mentoring faculty in an inclusive environment. Anyone interested in attending were directed to contact Douglas Haynes for more information. Anyone unable to attend a roundtable will have the option to view them online. UC Advance will video-tape the presentations and put them on the web to maximize outreach.

**Equal Opportunity and Diversity Status Report – Gwen Kuhns Black**
No Report

**Human Resources Status Report on Benefits – Melody McCulloch**

**Retirement Changes**
Retirement medical is changing. As of July 1, the new retirement plan will roll out. Anyone hired after this date will fall under the new pension plan. Under this plan, you must have five years of service credit, and then your age plus your years of service must add up to 50. If they do not, then you will fall under the graduated eligibility in the new plan. You can view the scale on [http://atyourservice.ucop.edu/](http://atyourservice.ucop.edu/). Additionally, there will be a reduction in funds you can invest in under Fidelity Funds 403B and 457. Anyone with these funds was sent a letter alerting them to the change and directing them on how to proceed.

**VIII. INFORMATION ITEMS**
None

**IX. NEW BUSINESS**
A request was made to include the proliferation of administration on the February agenda.

**X. ADJOURNMENT:**  5:02 P.M.

Submitted by Charlene Mandau
March 7, 2013

GOPI MEENAKSHISUNDARAM, CHAIR
COUNCIL ON FACULTY WELFARE, DIVERSITY, AND ACADEMIC FREEDOM

ALAN TERRICCIANO, CHAIR
COUNCIL ON ACADEMIC PERSONNEL

RE: SYSTEMWIDE REVIEW OF APM 600

EXPECTED CABINET AGENDA DATE: May 7, 2013

EXPECTED COUNCIL AGENDA DATE: May 22, 2013

The Academic Council has sent for systemwide review proposed revisions to multiple sections of the APM 600 series that are intended to create consistency and facilitate application to UC Path. Vice Provost Carlson’s letter announcing the review is attached as a pdf file. It includes a link to the section of the Academic Personnel Manual web site where policies under review are posted. Academic Personnel is using a new format in which each of the 15 different policy sections is a separate pdf file. In order to read the files on screen, you will need to right click on the document and then select “Open File.” For those who prefer, I have also attached a single pdf file, containing the entire review packet.

This systemwide review follows a limited Management Review in which UCAP and UCFW reviewed an earlier draft and suggested revisions. Academic Council will discuss these proposed revisions at its May 22 meeting.

I would ask that your Councils consider the proposed revisions, and prepare to present your comments at the Cabinet meeting scheduled for May 7, 2013. If you have any questions, please do not hesitate to contact me.

Mary Gilly, Senate Chair

C: Mia Larson
Charlene Mandau
Luisa Crespo
February 25, 2013

COUNCIL OF VICE CHANCELLORS
LABORATORY DIRECTOR ALIVISATOS
ACADEMIC COUNCIL CHAIR POWELL
ANR VICE PRESIDENT ALLEN-DIAZ

Section IV, Salary Administration (APM - 600 Series)

Dear Colleagues:

Enclosed for Systemwide Review are proposed revisions to APM Section IV, Salary Administration. Proposed revisions are responsive to campus requests to update the APM - 600 series in accordance with current policy implementation, to correct outdated delegations of authority and to make technical corrections that have been identified since the policies were last reviewed, in some instances decades ago. Additionally, we are taking the opportunity to reformat the policies to be congruent with the overall APM style and format. A Summary of the APM - 600 Series Proposed Revisions is attached to this letter as a guide regarding changes proposed for each policy within APM Section IV.

Proposed revisions are prompted in part by the UCPath initiative. In addition to replacing the payroll system, a key component of the UCPath initiative is building a systemwide Shared Service Center designed to ensure systemwide consistency in business process quality and implementation. Shared Service Center personnel will rely on the APM - 600 series to perform these transactions. It is essential that procedural information contained within the policies be up-to-date, clear and consistent from policy to policy within the Series.

Additionally, the proposed revisions incorporate comments received during Management Consultation, many of which were technical and stylistic, intended to clarify language for consistency of interpretation.

Systemwide Review is a public review distributed to the Chancellors and Executive Vice Chancellors requesting that they inform the general University community, affected employees and unions about policy proposals. Systemwide Review also includes a mandatory, three-month full Senate review.

Employees should be afforded the opportunity to review and comment on the draft new policy, available online at: http://www.ucop.edu/academic-personnel/academic-personnel-policy/policies-under-review/index.html. Attached is a Model Communication which may be used to inform non-exclusively represented employees affected by these proposals.
February 25, 2013
Page 2

This letter and enclosures anticipate that you will begin Systemwide Review of the proposed draft and submit comments no later than May 28, 2013. Please send comments on the proposed policy to ADV-VPCARLSON-SA@ucop.edu. Questions may be directed to Janet Lockwood at Janet.Lockwood@ucop.edu or (510) 987-9499.

Sincerely,

Susan Carlson
Vice Provost
Academic Personnel

Enclosures:  Proposed Revised APM Section IV, Salary Administration (APM - 600 Series)
Summary of APM - 600 Series Proposed Revisions
Model Communication

cc:  President Yudof
     Chancellors
     Provost Dorr
     Executive Vice President Brostrom
     Senior Vice President Vacca
     Vice President Beckwith
     Vice President Duckett
     Vice Provosts – Academic Personnel
     Academic Personnel Directors
     Executive Director Fox
     Executive Director Rodrigues
     Executive Director Tanaka
     Executive Director Winnacker
     Deputy General Counsel Birnbaum
     Senior Counsel Van Houten
     Systemwide Policy Director Capell
     Director Chester
     Manager Lockwood
     Human Resources Policy Analyst Bello
     Senior Administrative Analyst Rupert
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<tr>
<th>APM Section</th>
<th>Title</th>
<th>Summary of Proposed Changes</th>
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| 290         | Regents' Professors and Regents' Lecturers | 1) Cut and paste APM - 640 into new Section APM - 290-18 and rename from "Salary" to "Stipends"  
2) Delete reference to a general fund allocation from UCOP; with funding streams initiative, UCOP no longer distributes general fund allocations  
3) Delete references to a specific salary scale for Regents' Professors and Regents' Lecturers; no such salary scales exist |
| 510         | Intercampus Transfer | 1) Clarify that policy covers only Senate faculty titles  
2) Clarify procedures for home campus and recruiting campus  
3) Move "Guidelines" section covering procedures to new section APM - 510-80 to conform to APM style format  
4) Increase startup cost from $500K to $900K for faculty in the laboratory sciences and HSCP and from $250K to $500K for other faculty; cost has not been adjusted since 1997 |
| 600         | General | 1) Cut and paste APM - 660, 665, 667, and 690 into body of APM - 600  
2) Update authority levels in accordance with delegations of authority (Regents to President; President to Provost; President to Chancellors)  
3) Add off-scale increases to APM - 600-8 as a type of salary increase  
4) Update fiscal-year additional comp payments from 1/11th to 1/12th to standardize payments across all 10 campuses and account for vacation accrual; grandfather those appointed prior to July 1, 2013  
4) Clarify salary conversion rates for faculty moving from academic-year to fiscal-year and fiscal-year to academic-year |
| 610         | Salary Increases/General Scale | 1) Cut and paste APM - 615, Merit Increases into new section APM - 610-9, with minor edits  
2) Add paragraph for calculating service for semester campuses (currently, includes paragraph for quarter campuses only)  
3) Update authority levels in accordance with delegations of authority (Regents to President; President to Provost) |
| 615         | Salary Increases/Merit | 1) Cut and paste into APM - 610 |
# SUMMARY OF PROPOSED REVISIONS TO APM - 600 SERIES

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<th>APM Section</th>
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| 620         | Off-Scale Salaries for Appointments and Advancement | 1) Add Academic Coordinators, Specialists, and Lecturers with SOE and PSOE to list of eligible titles, i.e., all academic appointees with the exception of students and appointees subject to a collective bargaining agreement  
2) Remove limitations section (for example, requiring that off-scales must be $100 less than the published salary for the equivalent step in the next rank, etc.)  
3) Review types of scale adjustments  
4) Update authority levels |
| 632         | Stipends/Assignment of FTE for Split Appointments with Stipends | 1) Merge with APM - 633 but rephrase to update 1960 procedure to conform to UCPATH |
| 633         | Stipends/Academic Appointees | 1) Incorporate APM - 632 but rephrase to update 1960 procedure to conform to UCPATH  
2) Edit title to reflect that policy pertains to administrative stipends  
3) Reformulate to conform to current APM style |
| 640         | Regents' Professors and Regents' Lecturers, Compensation | 1) Cut and paste into APM - 290 |
| 650         | Technical Assistance Projects | 1) Define and distinguish between foreign service and in-residence (within the US) service; clarify rate of pay and pay components  
2) Update State Department reference for definition of hardship  
3) Allow appointments to be made for an unspecified term or to extend beyond one year  
4) Update policy references to conform to 600 series revisions |
| 660         | Additional Compensation/General | 1) Cut and paste into APM - 600 |
| 661         | Additional Compensation/Summer Session Teaching | 1) Current policy addresses only academic-year appointees teaching in summer session; add language enabling fiscal-year appointees to teach in summer session. Fiscal-year faculty must relinquish vacation days equal to one day for every six podium hours. Fiscal-year non-faculty appointees must either relinquish vacation, use OPA days, or request a temporary percentage reduction in current appointment.  
2) Allow campus flexibility to determine formula for calculating summer session pay so that pay may be based on a flat rate or as a percentage of the annual rate  
3) State that 3/9 is the maximum compensation amount that may be earned  
4) State that additional compensation is based on salary rate in effect June 30th of the calendar year in which Summer Session begins |
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</table>
| 662 | Additional Compensation/Additional Teaching | 1) Cut and paste Appendices B-1 and B-2 into body of APM - 662  
2) Update fiscal-year additional comp payments from 1/11th to 1/12th to standardize payments across all 10 campuses and account for vacation accrual; grandfather those appointed prior to July 1, 2013  
3) Clarify rules for calculating time to be reported under APM - 025 requirements  
4) State that for fully online courses, hours will be determined by course units; campuses will ensure online courses provide unit workloads equivalent to the same or similar in-person course formats according to Senate Regulation 760. Each unit for an online course will be assumed equivalent to one podium hour per week. A three-unit lecture/discussion/laboratory course would count for three hours each week, or the equivalent of one day every two weeks. |
| 663 | Additional Compensation/University Extension Correspondence Courses | 1) Edit title to delete "Correspondence Courses" as policy applies to all UNEX teaching  
2) Cut and paste Appendices A-1, A-2, A-3, B-2, B-3 and B-4 from APM 662 (UNEX-related) into body of APM - 663 |
| 664 | Additional Compensation/Services as Faculty Consultant | 1) Clarify scope of policy: applies only to faculty as defined in APM - 110-4(15) consulting for UC or LBNL  
2) Clarify that the daily rate is calculated on total salary (salary plus off-scale for academic-year faculty and total negotiated salary for HSCP faculty)  
3) Update authority levels from OP to Chancellors |
| 665 | Additional Compensation/Reading Manuscripts | 1) Cut and paste into APM - 600-14-b section on Additional Compensation |
| 666 | Additional Compensation/Lecturers and Similar Services | 1) Edit title to read "Honoraria"  
2) Define honoraria as "...for the purpose of this policy as payment by the University, to a University employee, for occasional lectures and similar public appearances beyond normal responsibilities to the University."
3) Clarify that allowable expenses are defined in BFB G-28  
4) Clarify process for notifying the faculty member’s home campus when providing honoraria on another UC campus or at one of the Labs  
5) Reformat for consistency with APM format |
<p>| 667 | Additional Compensation/Extramurally Funded Research | 1) Adds statement in new section APM - 667-16 that agency salary caps must be observed and state funds may not be used to pay any cap gaps |</p>
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| 680         | Salary Conversion for Transfer of Academic Appointees to Laboratory | 1) Edit title to reflect that policy provides guidelines to determine salary for faculty with any type of appointment at LBNL, not just permanent transfers  
2) Clarify academic-year to fiscal-year salary conversion formula (multiply AY salary by 1.16 per terms of 1987 Cal Moore letter)  
3) Remove references to Lawrence Livermore and Los Alamos  
4) Clarify difference between a temporary appointment to Lawrence Berkeley and permanent transfer from Berkeley to the Lab |
| 690         | Academic Salary Scales                           | 1) Cut and paste into APM 600                                                               |
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290-0 **Policy**

a. In order to bring to the University distinguished individuals, ordinarily from non-academic fields, who through their contact with students and faculty may add to and enrich university life, The Regents of the University of California have established the titles Regents’ Professor and Regents’ Lecturer.

b. Appointment of a Regents’ Professor is preferred to the appointment of a Regents’ Lecturer whenever possible.

c. Nominations shall be coordinated by the Chancellors whenever possible in order to avoid conflicts and to make possible service on more than one campus when agreeable to the prospective appointee and to the Chancellor.

290-1 **Terms of Appointment**

To achieve the special purposes of Regents’ Professor and Regents’ Lecturer appointments as indicated in APM - 290-0, the following terms govern these appointments:

a. **A Regents’ Professor**

   (1) should reside in the vicinity of the campus during the appointment and be available for seminars, colloquia and informal consultation with students and faculty members;

   (2) should be available for lectures, seminars and conferences on campuses other than the one to which appointed for approximately two weeks of each quarter or semester;
(3) may participate in instruction in courses given for credit, at the discretion of the individual instructor; and

(4) may be assigned a course to teach at the discretion of the department chairperson and with the concurrence of the appropriate bodies of the Academic Senate.

b. A Regents’ Lecturer

(1) should reside in the vicinity of the campus during the appointment and be available for seminars, colloquia and informal consultation with students and faculty members; and

(2) may address class sessions of a course given for credit at the invitation of the instructor, but does not normally participate in instruction.

290-4 Definitions

a. Regents’ Professor

A Regents’ Professor serves for a semester/quarter or an academic year at the University of California upon the invitation of the President of the University and with the approval of the Board of Regents. The Regents’ Professor’s achievements in agriculture, banking, commerce, engineering, industry, labor, law, medicine or any other non-academic field in the arts, sciences or professions are equivalent to those on which appointments to regular University professorships are based.
b. **Regents’ Lecturer**

A Regents’ Lecturer serves for a relatively short period of time at the University of California upon the invitation of the Chancellor. The Regents’ Lecturer’s achievements in agriculture, banking, commerce, engineering, industry, labor, law, medicine or any other non-academic field in the arts, sciences or professions are equivalent to those on which appointments to regular University lectureships are based.

290-6 **Responsibility**

Responsibility for acting on appointments is assigned as follows:

a. The Chancellor is responsible for appointing a special committee of faculty members to undertake the solicitation of names and initial screening of potential Regents’ Professors and Regents’ Lecturers.

b. The President is responsible, at appropriate intervals, for asking members of the Board of Regents to suggest names to be transmitted to the Chancellors for the committee’s consideration.

c. The faculty committee, appointed by the Chancellor, undertakes the solicitation of names and initial screening, and is responsible for submitting lists of recommended individuals to the Chancellor.

d. The Chancellor is responsible for submitting recommendations for Regents’ Professors to the President.
e. The President is responsible for submitting to The Regents recommendations for Regents’ Professors.

f. The President is responsible for implementing intercampus exchange of Regents’ Professors.

290-8 Types of Appointment

a. The term of appointment shall begin and end within the period from the first day of classes in the fall semester/quarter and the last day of classes in the spring semester/quarter of the current year.

b. Regents’ Professors shall be appointed for a semester/quarter or an academic year.

c. Regents’ Lecturers shall be appointed for a period of less than a semester/quarter or an academic year, but preferably for not less than two weeks.

290-10 Criteria

Criteria for appointment are:

a. **Regents’ Professors:** Achievements in agriculture, banking, commerce, engineering, industry, labor, law, medicine or any other non-academic field in the arts, sciences or professions, equivalent to those on which appointments to regular University professorships are based.
b. **Regents’ Lecturers:** Achievements in the fields listed in APM - 290-10-a, equivalent to those on which appointments to regular University lectureships are based.

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290-16 **Limitations**

No commitment on an appointment as Regents’ Professor is to be made until The Regents have approved the appointment.

290-18 **Compensation**

a. **Regents’ Professorships**

Compensation for Regents’ Professorships is subject to approval by The Regents.

b. **Regents’ Lectureships**

Compensation for Regents’ Lectureships can be negotiated and approved by the Chancellor.

290-24 **Authority**

Authority to appoint Regents’ Professors and Regents’ Lecturers is delegated as follows:

a. **Regents’ Professors**

Appointments are approved by The Regents on recommendation of the President.
b. **Regents’ Lecturers**

Chancellors are authorized to appoint Regents’ Lecturers.
510-0 **Policy**

This policy provides guidance to all permanent intercampus transfers of academic appointees who hold Senate faculty titles on the home campus and who are recruited into Senate faculty titles at the recruiting campus.

510-2 **Purpose**

It is the obligation of those involved in the consideration of an intercampus transfer to pay due regard to the welfare of the University as a whole as well as to the wishes of the appointee and to the effect of the transfer on the two campuses directly concerned.

510-16 **Restrictions**

a. **Transfer of Research**

If, in conjunction with an intercampus transfer covered by the policy in this section, a transferee who is a principal investigator or co-investigator under an extramurally funded contract or grant wishes to transfer the contract or grant or any part of the equipment funded thereby to the recruiting campus, the matter must be discussed at the earliest possible opportunity with the contract and grant administrator on the recruiting campus. Such transfer of contract or grant equipment may be accomplished only after approval by both Chancellors concerned and in accordance with University rules for contract and grant administration and the rules of the granting agency.
b. Administrative Appointments

This policy applies only to Senate faculty appointments and does not address primary appointments to administrative positions such as Dean, regardless of any underlying Senate faculty appointment.

c. Timing

No offer of appointment that includes intercampus transfer shall be made after April 1 for service during the immediate following academic year unless a later offer date is mutually agreed to by both Chancellors involved.

d. Effect of Sabbatical Leave on Transfer Date

An intercampus transfer of an appointee may become effective immediately following the appointee’s sabbatical leave, i.e., the return to service requirement in APM - 740, Leaves of Absence/Sabbatical Leaves may be met by returning to service at another UC campus.

510-18 Rank, Step and Salary

a. When a Senate faculty member on one campus is to be transferred to another campus, the transferee’s rank and salary as recommended to be effective on transfer shall be subject to academic and administrative review on the recruiting campus. The Chancellor of the recruiting campus shall make the final decision on the rank and salary of the transferee. For additional details on such procedures, see APM - 220-80 and 220-85.

b. Transfers made with advancement to a salary that exceeds the Indexed Compensation Level threshold shall be submitted to the Provost and Executive Vice President—Academic Affairs for approval.
c. The recruiting campus may offer advancement and/or a salary increase of no more than one step, or the equivalent of one step, above the transferee’s current salary. If the transferee’s current salary is an off-scale salary, the recruiting campus may offer the next higher step along with the same off-scale dollar amount.

d. An offer which includes a promotion is permitted if the advancement and salary increase conform to the requirements set forth in this policy.

e. If a stipend is offered in addition to salary, it must be offered for *bona fide* administrative duties.

f. In response to the offer, the home campus may counter-offer a rank, step and/or salary equivalent to that of the recruiting campus.

g. If, at any time during the recruitment, the home campus is reviewing the faculty member for a salary increase and/or advancement to become effective at a later date, the recruiting campus may not offer more than one step above the current salary until the review is complete.

h. If the home campus review results in a salary increase and/or advancement, the recruiting campus may offer a salary, rank and step equivalent to the increase even if the increase is more than one step above the salary at the time of the initial recruitment effort.

i. If the faculty member being recruited by another UC campus also is being recruited by an outside institution, then either the home and/or recruiting UC campus may make a counter-offer higher than that described in order to compete with the outside offer.
510-19 **Start-Up Costs**

Approval by the Provost and Executive Vice President—Academic Affairs must be sought if the package of start-up costs and other inducements (excluding housing assistance such as a MOP loan) exceed $900,000 for faculty in the laboratory sciences and Health Sciences Compensation Plan and $500,000 for other faculty.

The package shall include all expenditures such as laboratory renovations, research equipment and summer salary for a faculty member.

510-24 **Authority**

a. Final approval of an intercampus transfer shall be made by the Chancellor of the campus to which the appointee is transferring.

b. At any point in a proposed intercampus recruitment, either Chancellor may request mediation or intervention by the Provost and Executive Vice President—Academic Affairs.

c. If there is a question regarding the application of these guidelines, the Provost and Executive Vice President—Academic Affairs will provide an interpretation of the policy.

510-80 **Procedures**

**Notification**

a. Prior to the initiation of negotiation for an intercampus transfer, the Chancellors of the two campuses involved shall be informed of the proposed transfer. In the case of a person holding a title under the
jurisdiction of the Vice President—Agriculture and Natural Resources,
the latter also shall be informed.

b. As soon as the candidate is identified for appointment by the department, the
Chancellor of the recruiting campus will notify the home campus Chancellor
of the intention to make an offer. The Chancellor of the recruiting campus
will provide information about the details of the offer in writing as soon as
such information is available.

The information provided to the home campus Chancellor must include any
and all recruiting inducements financial or otherwise and regardless of fund
source, including the proposed total negotiated salary, stipends or summer
ninths, recruitment allowance, appointment to endowed chairs, reduced
teaching responsibilities, start-up funds, space remodeling and other
recruitment incentives.

If in the course of negotiations with the transferee the recruiting campus
significantly increases the recruitment incentives previously reported, the
recruiting campus Chancellor will inform the home campus Chancellor of
such increases.

c. At least ten working days before making the formal offer of appointment
to the intended transferee, which offer shall be in writing, the Chancellor
of the recruiting campus shall indicate such intention to the Chancellor of
the home campus. If the transferee holds a title under the jurisdiction of
the Vice President—Agriculture and Natural Resources, the latter also
shall be informed.
The ten working day notification period may be waived if agreed to by both Chancellors involved.
600-0 **Policy**

Compensation of academic appointees is under the jurisdiction of the Chancellor except for those salaries which exceed the Indexed Compensation Level (ICL) requiring approval of the Provost and Executive Vice President – Academic Affairs.

600-4 **Definitions**

a. **Above-Scale Salary**

Above-scale salary refers to a full-time salary rate for an academic appointee who, by way of formal review, has advanced or is appointed to above-scale status within a specific title series. The salary shall always exceed the maximum salary designated for the title series in the published salary scales.

b. **Academic Salary Scales**

A salary scale is a published listing of salary rates or salary range established for a given academic title or title series. The scales may be divided into steps or ranks, or into steps within the ranks. A salary range is a published listing of the minimum to maximum salary for a particular title.

Responsibility for issuing academic salary scales rests with the President or the President’s designee after consultation with the Academic Council and the Chancellors.

The salary scales may be viewed online at [http://www.ucop.edu/acadpersonnel/](http://www.ucop.edu/acadpersonnel/).
c. **Academic Year Appointment**

An academic year appointment is also known as a nine-month appointment (on a quarter campus) or a ten-month appointment (on a semester campus) and refers to the period in which an academic appointee renders services, i.e., the academic year, from the beginning of the fall term through the end of the spring term, including periods of intersession. Appointees to certain titles may also be appointed to, and render service for, a portion of an academic year, i.e., one semester, one quarter, or two quarters. Academic year appointees do not render service during the summer period but may receive their annual salary in twelve equal installments throughout the calendar year.

d. **Additional Compensation**

Additional compensation is any compensation other than an administrative stipend paid to an appointee by the University in excess of the appointee’s full-time salary. Additional compensation is allowed only in specific circumstances outlined in APM - 600-14. Appointees working less than full-time may accept additional University employment up to 100 percent time. However, concurrent jobs are not considered additional compensation. The term additional compensation is not used in this Manual to refer to compensation for employment by any employer other than the University.

e. **Faculty**

A member of the faculty of the University is an academic appointee in a School, College, Division, Department or Program of instruction and research who has independent responsibility for conducting approved regular University courses for campus credit. Students in a UC degree program who teach independently within their discipline are not considered faculty. A list of faculty titles may be found in
f. **Fiscal Year Appointment**

A fiscal year appointment refers to the period in which the individual renders service, i.e., throughout the fiscal year, July 1 through June 30 (12 months) as opposed to the academic year (nine or ten months).

g. **Off-Scale Salary**

The salary for an appointee at a certain rank and step is designated as off-scale if the salary is higher than the published salary at the designated rank and step for the relevant title series (APM – 620).

h. **Step**

Most academic titles have established levels of salary within each title or rank. Each level is referred to as a step (e.g., Assistant Professor, Step II).

600-8 **Types of Salary Increases**

There are four basic ways in which an academic appointee may receive an increase in salary. These are:

a. General scale increase (see APM - 610);

b. Merit increase (see APM - 610);

c. Promotion (see section relating to the appropriate title or title series in Section II of the APM, Appointment and Promotion);

d. Off-scale increase (see APM - 620).

In addition, Health Sciences Compensation Plan faculty may received an increase in salary as the result of a renegotiation of the “Y” component per APM - 670-18-c-1.
For all academic appointees, merit increases and promotions, unless otherwise approved by the Chancellor, are effective July 1, payable according to APM - 610.

Salary increases for full-time faculty administrators are governed by APM - 240, Deans and APM - 246, Faculty Administrators (100% Time).

600-14 Additional Compensation

Members of the faculty and certain academic appointees are at times, as described in specific policies, called on to serve the University in activities not directly related to their recognized University duties. Such services may be as a professional consultant, in administration or teaching outside the member’s regular Department, School or College. When paid as additional compensation, such services shall not interfere with recognized University duties. In some cases, it may be appropriate to take a leave of absence without salary from the regular appointment for the duration of the additional service. Additional compensation for specific activities are covered in APM Sections - 633, - 660, - 661, - 662, - 663, - 664 and - 667. In addition, honoraria for lectures and similar services such as public appearances may be permitted in accordance with APM - 666.

a. For academic appointees covered by a Memorandum of Understanding (MOU), eligibility for additional compensation is determined by the terms of the MOU.

b. Academic year appointees may receive additional compensation of up to one-third of the annual salary for conducting research, teaching, or service during the summer. Guidelines for payment are contained in APM - 600, Appendix 1.

c. Fiscal year appointees to the Professor, Astronomer or Agronomist in the Agricultural Experiment Station (A.E.S.) series may receive additional compensation
of up to one-twelfth\(^1\) of the annual salary for teaching, research, or service performed during vacation. A corresponding number of accrued vacation days must be deducted.

d. All academic appointees may receive additional compensation for reading and judging manuscripts. When reading and judging manuscripts for the University Press, additional compensation is paid in accordance with guidelines issued by the Office of the President. There are no established fees for reading manuscripts. Fees are subject to negotiation for each manuscript read.

e. Limitations

   i. No member of the faculty on a full-time appointment shall receive additional compensation from University sources for services directly related to the appointee’s recognized duties during the academic year, from the beginning of the fall semester/quarter service period, as established in the University calendar, through the end of the spring semester/quarter service period (or during the vacation period for a fiscal year appointee), except that honoraria for lectures and similar services may be permitted (see APM - 666).

   ii. No additional compensation may be earned during intersession periods, except as provided in APM - 600, APM - 664, and APM - 666.

   iii. For additional employment performed during the period between the end of the spring semester/quarter and the beginning of the fall semester/quarter, and the vacation period in the case of a fiscal year appointee.

\(^1\) This is effective for appointments made July 1, 2013 or later. Those appointed prior to July 1, 2013 to the Professor, Astronomer or Agronomist series are eligible for payments of up to one-eleventh of the annual salary of a fiscal year appointee.
year appointee, no member of the faculty on full-time appointment shall receive compensation at a rate higher than the appointee’s regular annual salary; and no contract between the University and an organization or individual shall include provision for a higher rate.

iv. Appointees may not receive additional compensation for research service performed in the intersession period between two consecutive quarters/semesters of teaching.

v. Research appointees should be advised that time reports submitted for monthly pay purposes must ultimately agree with the effort required at the end of the quarter/semester.

600-18 Rates of Pay

a. The academic salary scales issued by the Office of the President give rates of pay at each step within each rank and the normal period of service at each salary step.

b. Conversion Rates

An academic year salary is converted to a fiscal year salary by increasing the academic year salary by 16 percent, i.e., by multiplying the academic year salary by 1.16. A fiscal year salary is converted to an academic year salary by decreasing the fiscal year salary by 14 percent, i.e., by multiplying the fiscal year salary by 0.86. This calculation includes a standard differential of three cumulative five percent increments and takes into account work during intersession periods during which all faculty are expected to work plus vacation days available to fiscal year appointees. Annual salary rates are then rounded to the nearest $100 if the on-scale rates for the corresponding title series are given in $100 increments.
600-19 **Deductions**

Salary and additional compensation payments are subject to deductions as may be required by law or University regulations.

600-20 **Salary Payments**

a. Salary payments are issued through the University.

b. Salaries of academic year and fiscal year appointees are normally paid in twelve equal monthly installments, regardless of fund source.

c. Salaries of academic year appointees who are appointed for less than a full academic year are normally paid in three equal monthly installments per quarter of service, or six equal installments per semester of service.

d. Salary payments to appointees in student titles on academic year appointments are made in nine (quarter system) or ten (semester system) equal monthly installments on the first of each month following the month of service.

e. Salary payments to academic appointees in student titles paid on an hourly basis are normally paid on a bi-weekly pay schedule.

f. In unusual circumstances, the Chancellor may approve an exception to these circumstances.

600-21 **Computation of Pay for Academic Appointees Giving Less Than a Full Quarter or Semester Period of Service**

a. Computation of pay for academic appointees who serve for less than one full quarter/semester or whose service will be irregular or unpredictable is described in APM - 600, Appendix 2.
b. Academic-year appointees who receive their annual salary in twelve equal monthly installments over the period July 1 through June 30 are prepaid to some extent. When such an appointee leaves University service before the end of a quarter/semester, the total amount actually owed for services from the beginning of the quarter/semester to the time of departure may differ from the total of the salary installments received by the appointee to date. The amount actually due for services to the date of termination shall be compared with the total amount of pay already received. If the amount of pay already received exceeds the amount owed, the appointee shall refund the difference to the University. If the amount owed exceeds the amount received, the University shall pay the difference to the appointee.

600-24 Authority

a. Academic salary scales are issued by the Office of the President. For authority to grant merit increases, see APM - 610. For authority to appoint and promote, see the appropriate section in APM Section II, Appointment and Promotion.

b. Authority to approve above-scale salary rates up to and including the Indexed Compensation Level rests with the Chancellor.

c. Authority to approve salaries beyond the Indexed Compensation Level rests with the Provost and Executive Vice President—Academic Affairs.

600-80 Procedures

a. Schedule of Payments

(1) Academic Year Appointments
(a) Appointees under the quarter calendar will be paid in accordance with the schedule listed in APM - 600, Appendix 3.

(b) Appointees under the semester calendar will be paid in accordance with the schedule listed in APM - 600, Appendix 4.

(2) Fiscal Year Appointments

Pay periods for fiscal year appointments under the quarter or semester calendar will be identical to service periods.

(3) Joint Appointments (Teaching and Research) (See APM - 600, Appendix 5)

(a) An academic year appointee who holds a title in the Professor series, equivalent rank, or In-Residence series, and who also holds a title in the Professional Research series, will be paid on the academic year salary scale for both the faculty and research appointments.

(b) An academic year appointee holding a title in other than the Professor series, equivalent rank or In-Residence series will be paid at the fiscal year rate for research services regardless of the portion of the year devoted to teaching.

(c) A fiscal year appointee who is appointed to teach on a temporary basis will be paid at the fiscal year rate for research and the academic year rate for the faculty appointment. If the two appointments will result in employment greater than 100 percent time during the teaching appointment service period, the research appointment will be temporarily reduced to yield a 100 percent time appointment during the service period.

b. For computation of Full-Time Equivalent (FTE) percentages for academic appointments, see Appendix 8.
List of Appendices

Appendix 1  Guidelines for Payment of Additional Compensation to Academic Year Appointees During the Summer
Appendix 2  Computation of Pay for Academic Appointees Giving Less Than a Full Period of Service
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Appendix 5  Schedule of Salary Payments for Joint Appointments – Academic Year
Appendix 6  Pay Periods for Academic Year Appointees Paid on a 12-Month Basis – Quarter System
Appendix 7  Pay Periods for Academic Year Appointees Paid on a 12-Month Basis – Semester System
Appendix 8  Computation of Full-Time Equivalent (FTE) Percentages for Academic Appointments
Appendix 9  Guidelines on By Agreement Appointments for Academic Appointees
Guidelines for Payment of Additional Compensation
to Academic Year Appointees During the Summer

Eligible academic year appointees are allowed to earn a maximum of one-third of the nine-month annual salary rate as additional compensation for services during the summer period. The full summer service period for pay entitlement is 57 service days. It begins after the spring quarter/semester and ends prior to the fall quarter/semester and will be preceded, followed, or both by intersession periods during which an appointee is expected to perform duties as necessary to fulfill commitments to the University and to sponsoring agencies. No additional compensation is allowed during the periods which are not included within the designated summer service period. Regular University pay entitlement is not affected if service is not performed during the summer period.

Each summer service day in duty status for pay entitlement is weighted as follows:

- **Full summer period:** For 3/9 of annual rate:
  - 57 days, each at 1/57;

- **2/3 summer period:** For 2/9 of annual rate:
  - 38 days, each at 1/38;

- **1/3 summer period:** For 1/9 of annual rate:
  - 19 days, each at 1/19.

Since academic year appointees are normally paid on a monthly basis and not a daily basis, monthly summer salary payments may be made at a set rate of 1/9 of the annual salary per month,
with the percentages distributed across the summer pay periods as appropriate according to the established service dates, with the total compensation not to exceed 3/9 (one-third) of the annual salary rate.

If payments for the summer service are scheduled for or are made in equal monthly installments of 1/9 each month and service is terminated prior to the end of the designated service period, pay entitlement must be calculated using a daily rate based on a 57-day summer service period with appropriate adjustments made to salary owed based on amounts already paid.

If effort is reported as 100% at a full 1/9 installment for such a month, it is to be understood that only 19 service days in duty status for pay entitlement are, for payroll purposes, those of the compensable service period. The “excess” calendar days in that month are to be considered part of the intersession period.

When a daily rate is used rather than a monthly rate, and during the months of July and/or August each business day available for service is used, the monthly installment for those months may exceed 1/9 of the annual rate. This is allowable so long as the total compensation for the summer period does not exceed one-third of the annual rate and the total service period does not exceed 57 days.

If length of service will be indeterminate or irregular, a daily rate based on the 57-day summer service period should be applied. All summer salary rates shall be calculated based on the salary rate in effect as of June 30th of that year.
Computation of Pay for Academic Appointees

Giving Less Than a Full Quarter or Semester of Service

I. Definitions

Working Day: For purposes of computing pay, working days consist of all Mondays, Tuesdays, Wednesdays, Thursdays and Fridays, including holidays occurring on any of those days, which fall between the beginning and ending dates of the service period of an academic appointment.

Day of Absence: Any working day for which payment must be deducted because of absence.

Monthly Rate: The rate of monthly salary payments as shown on the appropriate campus approval document.

Quarterly Rate: The annual salary of an academic year appointee divided by three or the annual salary rate of a fiscal year appointee divided by four.

Semester Rate: The annual salary of an academic or fiscal year appointee divided by two.

Daily Rate: The quarterly/semester rate divided by the number of “working days” in the academic quarter/semester under consideration.
Daily Time

Factor: A percentage of the “working days” in a given calendar month.

II. Procedures – Academic Year Appointees

Payment Computation

1. Calculate amount of Daily Rate
   
   Quarterly/Semester Rate
   
   “Number of Working Days” in Quarter/Semester = Daily Rate

2. Calculate payment for quarter of partial service
   
   Daily Rate x Appointment x Days Worked = Adjusted Quarter/Semester Payment

3. To calculate the amount to be deducted for an absence, count the number of days of absence and apply the same method and formula.

III. Procedures – Fiscal Year Appointees

For all fiscal year appointees, use Table 1 to calculate the amount of pay owed for a partial month of service.

A. Payment Computation

1. Locate in the first column the number of days the appointee worked during the month. Reading horizontally along the row, select the appropriate time factor according to whether there are 20, 21, 22 or 23 working days in the calendar month under consideration. Use the following formula to calculate the amount of payment for that month:
Appointment Percent x Daily Time Factor x Monthly Pay Rate = Adjusted Monthly Payment

2. To calculate the amount to be deducted for an absence, count the number of days of absence and apply the same method and formula.
Daily Time Factors for Days Worked (or Absent)

for Fiscal Year Appointees

(Not to be used for summer compensation payments)

<table>
<thead>
<tr>
<th>Number of Days Worked</th>
<th>20-Day Month</th>
<th>21-Day Month</th>
<th>22-Day Month</th>
<th>23-Day Month</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>.0500</td>
<td>.0476</td>
<td>.0455</td>
<td>.0435</td>
</tr>
<tr>
<td>2</td>
<td>.1000</td>
<td>.0952</td>
<td>.0910</td>
<td>.0870</td>
</tr>
<tr>
<td>3</td>
<td>.1500</td>
<td>.1429</td>
<td>.1364</td>
<td>.1304</td>
</tr>
<tr>
<td>4</td>
<td>.2000</td>
<td>.1905</td>
<td>.1818</td>
<td>.1739</td>
</tr>
<tr>
<td>5</td>
<td>.2500</td>
<td>.2381</td>
<td>.2273</td>
<td>.2174</td>
</tr>
<tr>
<td>6</td>
<td>.3000</td>
<td>.2857</td>
<td>.2727</td>
<td>.2609</td>
</tr>
<tr>
<td>7</td>
<td>.3500</td>
<td>.3334</td>
<td>.3182</td>
<td>.3043</td>
</tr>
<tr>
<td>8</td>
<td>.4000</td>
<td>.3810</td>
<td>.3636</td>
<td>.3478</td>
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<td>.4500</td>
<td>.4286</td>
<td>.4091</td>
<td>.3913</td>
</tr>
<tr>
<td>10</td>
<td>.5000</td>
<td>.4762</td>
<td>.4545</td>
<td>.4348</td>
</tr>
<tr>
<td>11</td>
<td>.5500</td>
<td>.5238</td>
<td>.5000</td>
<td>.4783</td>
</tr>
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<td>12</td>
<td>.6000</td>
<td>.5714</td>
<td>.5455</td>
<td>.5217</td>
</tr>
<tr>
<td>13</td>
<td>.6500</td>
<td>.6190</td>
<td>.5909</td>
<td>.5652</td>
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<tr>
<td>14</td>
<td>.7000</td>
<td>.6667</td>
<td>.6364</td>
<td>.6087</td>
</tr>
<tr>
<td>15</td>
<td>.7500</td>
<td>.7143</td>
<td>.6818</td>
<td>.6522</td>
</tr>
<tr>
<td>16</td>
<td>.8000</td>
<td>.7619</td>
<td>.7273</td>
<td>.6957</td>
</tr>
</tbody>
</table>
Score: 100.00\%

<p>| | | | | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>17</td>
<td>.8500</td>
<td>.8095</td>
<td>.7727</td>
<td>.7391</td>
</tr>
<tr>
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</tr>
<tr>
<td>19</td>
<td>.9500</td>
<td>.9048</td>
<td>.8636</td>
<td>.8261</td>
</tr>
<tr>
<td>20</td>
<td>1.0000</td>
<td>.9524</td>
<td>.9091</td>
<td>.8696</td>
</tr>
<tr>
<td>21</td>
<td>-------</td>
<td>1.0000</td>
<td>.9545</td>
<td>.9130</td>
</tr>
<tr>
<td>22</td>
<td>-------</td>
<td>-------</td>
<td>1.0000</td>
<td>.9565</td>
</tr>
<tr>
<td>23</td>
<td>-------</td>
<td>-------</td>
<td>-------</td>
<td>1.0000</td>
</tr>
</tbody>
</table>

Subtract the factor shown from 1.0000 to determine the percent of time to be used in computing the amount of the monthly installment to be paid.
## Schedule of Salary Payments for Academic Year Appointments

### on the Quarter Calendar

<table>
<thead>
<tr>
<th>Service Period</th>
<th>Total Payment</th>
<th>Monthly Rate</th>
<th>Pay Period</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Appointees to faculty titles who serve three full quarters (9/12)</strong></td>
<td>Fall quarter begin date through spring quarter end date</td>
<td>Full annual rate (at appropriate percent time)</td>
<td>Annual rate/12 July 1 through June 30</td>
</tr>
<tr>
<td><strong>Appointees to monthly student titles who serve three full quarters (9/9)</strong></td>
<td>Fall quarter begin date through spring quarter end date</td>
<td>Full annual rate (at appropriate percent time)</td>
<td>Annual rate/9 October 1 through June 30</td>
</tr>
<tr>
<td><strong>Appointees to all titles who serve two consecutive quarters in an academic year (9/9)</strong></td>
<td>Fall quarter begin date through winter quarter end date</td>
<td>Annual rate/9 x 6</td>
<td>Annual rate/9 October 1 through March 31</td>
</tr>
<tr>
<td></td>
<td>Winter quarter</td>
<td>Annual rate/9 x 6</td>
<td>Annual rate/9 January 1</td>
</tr>
<tr>
<td>Appointees to all titles who serve one quarter in an academic year (9/9)</td>
<td>begin date through spring quarter end date</td>
<td>Annual rate/9 x 3</td>
<td>Annual rate/9</td>
</tr>
<tr>
<td>---</td>
<td>---</td>
<td>---</td>
<td>---</td>
</tr>
<tr>
<td>Fall Quarter begin date through fall quarter end date</td>
<td>Annual rate/9</td>
<td>Annual rate/9</td>
<td>October 1 through December 31</td>
</tr>
<tr>
<td>Winter quarter begin date through winter quarter end date</td>
<td>Annual rate/9 x 3</td>
<td>Annual rate/9</td>
<td>January 1 through March 31</td>
</tr>
<tr>
<td>Spring quarter begin date through spring quarter end date</td>
<td>Annual rate/9 x 3</td>
<td>Annual rate/9</td>
<td>April 1 through June 30</td>
</tr>
</tbody>
</table>
To apply a pay change (e.g., leave of absence) to a single quarter for a faculty appointee who normally serves all three quarters per academic year, use the following pay periods:

   Fall quarter: July 1 through October 31
   Winter quarter: November 1 through February 28
   Spring quarter: March 1 through June 30

See APM – 600, Appendix I for the payment schedule for summer additional compensation for academic-year appointees.
### Schedule of Salary Payments for Academic Year Appointments

**on the Semester Calendar**

<table>
<thead>
<tr>
<th>Service Period</th>
<th>Total Payment</th>
<th>Monthly Rate</th>
</tr>
</thead>
<tbody>
<tr>
<td>I. Appointees who serve full two semesters:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>A. All ranks of faculty</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2 semesters</td>
<td>Full Annual Rate</td>
<td>Annual Rate/12</td>
</tr>
<tr>
<td>B. Appointees to student titles</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2 semesters</td>
<td>Full Annual Rate</td>
<td>Annual Rate/10</td>
</tr>
</tbody>
</table>

| II. Faculty and appointees to student titles who serve one semester: | | |
| 1 semester                                                             | Annual Rate/2           | Annual Rate/10     |
## Schedule of Salary Payments for Joint Appointments – Academic Year

<table>
<thead>
<tr>
<th>Appointment</th>
<th>Service Period</th>
<th>Salary Scale</th>
<th>Payment Period</th>
</tr>
</thead>
<tbody>
<tr>
<td>Professor series equivalent rank, or In Residence series and Professional Research series:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Professor series</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Faculty portion</td>
<td>9 months</td>
<td>academic year</td>
<td>12 months</td>
</tr>
<tr>
<td>Professional Research</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Series portion</td>
<td>9 months</td>
<td>academic year</td>
<td>12 months</td>
</tr>
<tr>
<td>Non-ladder rank faculty appointees with research appointment at any proportion of service:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Faculty portion</td>
<td>9 months</td>
<td>academic year</td>
<td>12 months</td>
</tr>
<tr>
<td>Research portion</td>
<td>12 months</td>
<td>fiscal year</td>
<td>12 months</td>
</tr>
</tbody>
</table>
### Pay Periods for Academic Year Appointees Paid on a 12-Month Basis – Quarter System

#### Quarter System

<table>
<thead>
<tr>
<th>Pay Period</th>
<th>Service Period</th>
</tr>
</thead>
<tbody>
<tr>
<td>July</td>
<td>Fall Quarter</td>
</tr>
<tr>
<td>August</td>
<td></td>
</tr>
<tr>
<td>September</td>
<td></td>
</tr>
<tr>
<td>October</td>
<td></td>
</tr>
<tr>
<td>November</td>
<td>Winter Quarter</td>
</tr>
<tr>
<td>December</td>
<td></td>
</tr>
<tr>
<td>January</td>
<td></td>
</tr>
<tr>
<td>February</td>
<td></td>
</tr>
<tr>
<td>March</td>
<td>Spring Quarter</td>
</tr>
<tr>
<td>April</td>
<td></td>
</tr>
<tr>
<td>May</td>
<td></td>
</tr>
<tr>
<td>June</td>
<td></td>
</tr>
</tbody>
</table>
### Pay Periods for Academic Year Appointees Paid on a 12-Month Basis – Semester System

<table>
<thead>
<tr>
<th>Pay Period</th>
<th>Service Period</th>
</tr>
</thead>
<tbody>
<tr>
<td>July</td>
<td>Fall Semester</td>
</tr>
<tr>
<td>August</td>
<td></td>
</tr>
<tr>
<td>September</td>
<td></td>
</tr>
<tr>
<td>October</td>
<td></td>
</tr>
<tr>
<td>November</td>
<td></td>
</tr>
<tr>
<td>December</td>
<td></td>
</tr>
<tr>
<td>January</td>
<td>Spring Semester</td>
</tr>
<tr>
<td>February</td>
<td></td>
</tr>
<tr>
<td>March</td>
<td></td>
</tr>
<tr>
<td>April</td>
<td></td>
</tr>
<tr>
<td>May</td>
<td></td>
</tr>
<tr>
<td>June</td>
<td></td>
</tr>
</tbody>
</table>
Computation of Full-Time Equivalent (FTE)

Percentages for Academic Appointments

These tables are included to assist in the computation of Full-Time Equivalent (FTE) percentages for academic appointees. 1.00 FTE equals the full-time services of one appointee for one year.

ACADEMIC YEAR

For academic year appointments, two semesters of full-time service are equivalent to one year; likewise three quarters of full-time service are equivalent to one year. Included in this category are those appointees who hold titles in the Professor series for the equivalent of at least one full quarter or semester and who also hold a title in the Professional Research series.

1 semester = ½ of a year = 0.50 FTE
2 semesters = 1 full year = 1.00 FTE

1 quarter = 1/3 of a year = 0.33 FTE
2 quarters = 2/3 of a year = 0.67 FTE
3 quarters = 1 full year = 1.00 FTE

FISCAL YEAR

For fiscal year appointments two semesters of full-time service plus the summer period are equivalent to one year; likewise three quarters of full-time service plus the summer period are equivalent to one year. Included in this category are those appointees who hold titles in the Professor series, on a fiscal basis, for the equivalent of at least one full quarter or semester and
who also hold a title in the Professional Research series. For fiscal year appointments with research titles, the FTE is computed on a monthly basis as follows:

<table>
<thead>
<tr>
<th>Months</th>
<th>Fraction of a Year</th>
<th>FTE</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 month</td>
<td>1/12</td>
<td>0.08</td>
</tr>
<tr>
<td>2 months</td>
<td>2/12</td>
<td>0.17</td>
</tr>
<tr>
<td>3 months</td>
<td>3/12</td>
<td>0.25</td>
</tr>
<tr>
<td>4 months</td>
<td>4/12</td>
<td>0.33</td>
</tr>
<tr>
<td>5 months</td>
<td>5/12</td>
<td>0.42</td>
</tr>
<tr>
<td>6 months</td>
<td>6/12</td>
<td>0.50</td>
</tr>
<tr>
<td>7 months</td>
<td>7/12</td>
<td>0.58</td>
</tr>
<tr>
<td>8 months</td>
<td>8/12</td>
<td>0.67</td>
</tr>
<tr>
<td>9 months</td>
<td>9/12</td>
<td>0.75</td>
</tr>
<tr>
<td>10 months</td>
<td>10/12</td>
<td>0.83</td>
</tr>
<tr>
<td>11 months</td>
<td>11/12</td>
<td>0.92</td>
</tr>
<tr>
<td>12 months</td>
<td>1 full year</td>
<td>1.00</td>
</tr>
</tbody>
</table>

Using this chart:

<table>
<thead>
<tr>
<th>Period</th>
<th>Equivalent Months</th>
<th>FTE</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 quarter</td>
<td>3 months</td>
<td>0.25</td>
</tr>
<tr>
<td>1 semester</td>
<td>4 ½ months</td>
<td>0.37</td>
</tr>
<tr>
<td>2 semesters</td>
<td>9 months</td>
<td>0.75</td>
</tr>
<tr>
<td>Summer period</td>
<td>3 months</td>
<td>0.25</td>
</tr>
</tbody>
</table>
Computation for Part-Time Service

Part-time service is expressed as a percentage of full-time. To determine the amount of FTE required for a part-time appointment, multiply this percentage by the appropriate factor selected from one of the above tables.

Examples:

Academic year appointee to serve 33%
for 2 quarters

\[0.33 \times 0.67 = 0.22 \text{ FTE}\]

Fiscal year appointee to serve 50%
for 3 quarters

\[0.50 \times 0.75 = 0.38 \text{ FTE}\]

Fiscal year appointee to serve 25%
for 10 months

\[0.25 \times 0.83 = 0.21 \text{ FTE}\]

Academic year appointee to serve 33%
for 1 semester

\[0.33 \times 0.50 = 0.17 \text{ FTE}\]

Fiscal year appointee to serve 50%
for 1 semester

\[0.50 \times 0.50 = 0.25 \text{ FTE}\]
Guidelines on By Agreement Appointments for Academic Appointees

Generally, all academic appointees shall hold regular appointments with a monthly or hourly rate and percentage of time specified with corresponding benefits eligibility. However, payment of a set, negotiated amount (a “by agreement appointment”) is appropriate in the following situations:

1. For teaching equivalent to a guest lecturer, e.g., intercampus services as a faculty lecturer or consultant, when the duration of such service is less than one full quarter or semester;

2. For substitute teachers appointed at the University Elementary School at UCLA.

3. For teaching in University Extension, the Berkeley Lawrence Hall of Science or other University service and continuing education and educational outreach programs, except for ongoing programs such as English as a Second Language (ESL);

4. For performance-based instruction such as in music, dance, art, theater, film and television, for an individual or small group, which is not conducive to a percentage appointment;

5. For Military/Air Science Tactics Assistants (title code 2600);

6. For retirees in post-retirement appointments (recalls) as long as the appointment does not exceed a total of 43 percent time per month inclusive of all recall agreements. The maximum salary rate for recall appointments is the individual’s base salary rate (including any off-scale) for the academic position held at the time of retirement, range adjusted forward.

7. Administrative stipends in accordance with APM - 633;

8. For other part-time visiting, adjunct, or other appointments if the Chancellor approves.
Individuals who hold positions on a by agreement basis and who are subsequently appointed on an ongoing basis or whose assignments have been expanded or regularized should be appointed to a regular appointment with a percentage of time specified and receive a regular salary and corresponding benefits.
610-0 **Policy**

This policy provides guidance for the ways in which an academic appointee may receive an increase in salary. These are by way of: a general scale increase, a merit increase, a promotion increase or an off-scale increase. Provisions for general scale increases and merit increases follow below. Promotion increases are described in Section II of the APM, Appointment and Promotion, within the appropriate title or title series policy. Off-scale increases are described in APM - 620, Off-Scale Salaries for Appointment and Advancement.

610-8 **General Scale Increases**

General scale increases in academic salaries are provided according to the following policies:

a. It is the responsibility of the President or the President’s designee to establish the academic salary scales. The President shall inform The Regents of any general scale increase required to maintain the University’s relative salary position and the additional sum required for increased contributions to the University of California Retirement System that are necessitated by the proposed general scale increase.

b. The percentage of general scale increase for each rank and salary level is determined by the President or the President’s designee.

c. General scale increases are typically not made retroactive.

d. Health Sciences Compensation Plan faculty may receive an increase in salary as the result of a renegotiation of the “Y” component per APM - 670-18-c-1.
Merit Increases

Merit increases for academic appointees are based on academic attainment, experience, and performance; they are not automatic. Merit increases may be made only within the limits of available funds.

a. Responsibility

Responsibility for recommending merit increases for academic appointees rests with the Department Chair or comparable administrative authority. The Chancellor is responsible for establishing procedures, in accordance with policy, for the initiation, review and approval of merit increases for appointees in each academic title or title series.

b. Effective Date

The effective date for merit increases is July 1 of each year except that:

i. Chancellors are authorized to approve merit increases to be effective at any date during the year; and

ii. The University’s annual fiscal operating budget year begins July 1. The University’s budget is adopted after the State’s budget is signed, which may occur after July 1. For merits and promotions that are effective on July 1, the date of payment of associated salary increases depends on when the University’s budget is adopted for the fiscal year. In the event the University’s budget is not adopted in time to meet applicable payroll deadlines for a July 1 effective date, there may be a delay in payment of salary increases until the University’s budget is adopted. Under these circumstances, salary increases will be paid as soon as possible, with retroactive payment to the effective date of the merit or promotion.
c. **Normal Periods of Service at Salary Steps**

Normal periods of service are assigned to the various salary steps in the published academic salary scales. Although these indicate the usual intervals between advancements, they do not preclude more rapid advancement in the case of exceptional merit or slower advancement when warranted.

i. Two or more quarters of service at one-half time or more by an academic-year appointee in any one academic year (from the beginning of the fall quarter to the end of the spring quarter, as set forth in the academic calendar) count as one full year of a normal period of service. Less than two quarters at one-half time or more in any one academic year does not count.

ii. One and one-half semesters of service at one-half time or more by an academic-year appointee in any one academic year (from the beginning of the fall semester to the end of the spring semester) count as one full year of a normal period of service. Less than one and one-half semesters at one-half time or more in any one academic year does not count.

iii. Six months or more of service at one-half time or more by a fiscal-year appointee in any one fiscal year (July 1 to June 30) count as one full year of a normal period of service. Less than six months of service at one-half time or more in any one fiscal year does not count.

**610-24 Authority**

a. **General Scale Increases**

The President has authority to establish general scale increases.
b. **Merit Increases**

Chancellors are authorized to approve a merit increase, in accordance with established salary policies, for any academic appointee under their jurisdiction except for a merit increase resulting in a salary exceeding the Indexed Compensation Level (ICL) threshold, which is subject to approval by the Provost.

**610-96 Reports**

The Chancellor shall maintain records of salary increase actions and submit reports to the President or the President’s designee as needed.
620-0 Policy

This policy provides guidance on the use of off-scale salaries. In order to preserve the significance and value of the salary scales, salaries should be on-scale to the greatest extent feasible. However, when justified, appointment or advancement to a position with an off-scale salary may be approved in situations when necessary to meet conditions described below.

620-4 Definition

A salary for an appointee at a certain rank and step is designated off-scale if the salary is above that associated with the given rank and step in the published salary scale for the relevant title series.

620-14 Eligibility

All academic titles except student titles may be considered eligible for off-scale salary. For academic appointees covered by a Memorandum of Understanding (MOU), eligibility for off-scale salaries is determined by the terms of the MOU. Generally, off-scale salaries are not awarded to Health Sciences Compensation Plan faculty.

An off-scale salary may be used:

(1) To meet competitive conditions;

(2) With promotion from one rank to a higher rank in the same title series or in lieu of that promotion;
(3) With or in lieu of a within-scale merit increase in salary; and/or

(4) As the consequence of a general scale adjustment applied to an off-scale salary.

620-18 Effect of a General Scale Adjustment on Off-Scale Salaries

a. Except as noted below, any academic appointee with an off-scale salary within established salary scales at the time of a general scale adjustment will receive the same dollar increase in salary as those of the same title, rank and step on the regular salary scale in question. This rule will be followed unless the Chancellor gives explicit directions to the contrary.

b. When a person is appointed or advanced to an off-scale salary, the Chancellor may specify that the salary is to be unaffected by the first concurrent or subsequent range adjustment. In such case the affected academic appointee shall be notified in writing of this stipulation by the Chancellor and the stipulation noted on the appropriate campus approval document.

620-24 Authority

The Chancellor has the authority to approve off-scale salaries up to and including the Indexed Compensation Level (ICL) threshold. Authority rests with the Provost and Executive Vice President—Academic Affairs to approve salaries beyond the compensation threshold.

620-80 Campus Procedures

The Chancellor or the Executive Vice Chancellor and Provost, in consultation with the appropriate committee(s) of the division Academic Senate, shall develop local procedures for implementation of the off-scale policy. Procedures shall include the
criteria for appointment or advancement to a position with an off-scale salary, as well as for an appointee’s continuation with an off-scale salary or return to an on-scale salary. When an individual is placed on an off-scale salary, the appointee must be notified of this action and any limitation.
633-0 **Policy**

In recognition of added administrative responsibility, administrative stipends may be paid to eligible academic appointees. Additional administrative responsibility is distinct from additional service, which is to be recognized through the academic review process.

Administrative stipends are considered covered compensation for purposes of the UC Retirement Program.

633-14 **Eligibility**

Academic appointees in the following titles are eligible for administrative stipends in accordance with APM - 240, - 241, - 246, and - 360. Chancellors may designate additional eligible titles as appropriate.

- Dean
- Associate Dean
- Assistant Dean
- College Provost
- Vice Provost
- Associate Vice Provost
- Vice Chancellor
- Associate Vice Chancellor
- Department Chair
- Department Vice Chair
633-16 **Restrictions**

This policy does not apply to non-Senate academic appointees covered by a Memorandum of Understanding (MOU).

633-80 **Procedures**

a. Each Chancellor shall develop local guidelines for the establishment of administrative stipends based on such criteria as budgeted department funds, the size and complexity of the unit, the number of FTE supervised and the relevant administrative experience and academic leadership of the appointee.

b. When an administrative stipend is applied, it shall be distinguished and recorded separately from the academic appointment(s) with the use of a specific position title code for administrative stipends.
661-0  **Policy**

Academic appointees may receive additional compensation for Summer Session teaching in accordance with policy. Teaching at a University campus other than the home campus requires pre-approval from the home campus.

661-14  **Eligibility**

Only the following academic appointees may receive additional compensation for Summer Session teaching:

a. Academic-year appointees

b. Appointees holding split appointments partly on an academic-year basis and partly on a fiscal-year basis, provided the fiscal-year portion of the appointment is less than half-time during the Summer Session period.

c. Full-time fiscal-year faculty appointees who relinquish vacation days equal to one day for every six contact or podium hours with students.

d. Part-time fiscal-year faculty may request a temporary increase in their percentage of appointment for Summer Session teaching.

e. Non-faculty fiscal-year appointees must request the use of vacation days or request a temporary percentage reduction in their current appointment.

661-16  **Restrictions**

a. Compensation for academic-year appointees may not exceed one-ninth per month of the annual salary, and may not exceed three-ninths during the “off-duty” summer period.
b. Compensation for fiscal-year appointees may not exceed one-twelfth per month of the annual salary.  

1 This is effective for appointments made July 1, 2013 or later. Those appointed prior to July 1, 2013 to the Professor, Astronomer or Agronomist series are eligible for payments up to one-eleventh of the annual salary of a fiscal-year appointee.

c. These additional compensation maximums are cumulative of all concurrent sources of additional University compensation.

661-18 Salary

a. Summer Session teaching

The amount of pay is negotiated based on the teaching load. Each campus shall determine the formula by which pay is calculated.

b. Additional compensation is based on the salary rate in effect June 30th of the calendar year in which Summer Session begins.

661-24 Authority

Each Chancellor is authorized to approve additional compensation for Summer Session teaching for eligible academic appointees.
662-0 **Policy**

Full-time faculty members may receive additional compensation after obtaining pre-approval from the faculty member’s immediate supervisor for specific additional University of California teaching activities under certain conditions. For information regarding Additional Compensation/Summer Session, see APM - 661 and for information regarding Additional Compensation/University Extension (UNEX), see APM - 663.

662-2 **Purpose**

Compensation for additional teaching is a privilege that must not interfere with normal University duties. As a prerequisite for any additional compensation under this policy, the faculty member must carry the full approved teaching load for his or her respective department, even if he or she normally teaches less. Department chairs must take special care to insure that faculty, especially assistant professors, are able to meet expectations for all their responsibilities in teaching, research/creative work, and University and public service.

This policy should be read in conjunction with APM - 025, Conflict of Commitment and Outside Activities of Faculty Members.

662-8 **Additional Teaching Eligible for Additional Compensation**

During academic or fiscal year appointments, two kinds of teaching are eligible for additional compensation, when beyond the assigned teaching load:
a. Teaching of matriculated students whether in self-supporting University degree or UNEX courses and programs

b. Teaching of non-matriculated students, including those in UNEX courses and programs (see APM – 663) and other continuing education courses and programs run by the University.

662-9 Additional Teaching During Summer Period (excludes teaching in Summer Session)

a. During the summer, or equivalent term if on a year-round schedule, a full-time academic-year faculty member may be paid up to one-third of his or her nine-month salary rate for additional teaching as defined in this policy. If the faculty member is receiving additional compensation from other University sources during the summer or equivalent term, he or she may not receive more than three-ninths for all such services combined.

b. During the summer period or equivalent term when a faculty member earns up to three-ninths from such sources as research grants and Summer Session teaching, a faculty member also may engage in additional teaching defined in APM policy up to a limit of one day per week inclusive of all outside professional activities performed during the period in which additional University compensation is received (See APM - 025).

c. A full-time fiscal year faculty member may use accrued vacation leave in order to receive compensation for additional teaching as defined in this policy up to a limit of
one-twelfth of the annual salary. Fiscal year faculty may not earn University compensation above the one-twelfth limit. Fiscal year faculty may also use APM - 025 days to increase the amount of time they may spend on additional teaching given appropriate local approval.

662-14 Eligibility

Faculty titles covered by this policy are listed in APM - 110-4(15). Faculty participating in the Health Sciences Compensation Plan are subject to the Plan and local campus Implementing Procedures regarding income from additional University teaching. See APM – 670, Health Sciences Compensation Plan for additional information on the Plan.

662-16 Restrictions

Teaching activities ineligible for additional compensation are:

a. Any course assigned by the department chair as part of the faculty member’s assigned teaching load. For example, a faculty member may not receive additional compensation for teaching:

i. A course in a self-supporting degree program (funds from the self-supporting degree program would be used to pay for this portion of the faculty member’s assigned teaching load);

ii. Extra teaching duties assigned in place of research; or

iii. Courses taught in a variety of less common modes or locations (e.g., online, off-site, at another campus).

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1 This is effective for appointments made July 1, 2013 or later. Those appointed prior to July 1, 2013 to the Professor, Astronomer or Agronomist series are eligible for payments of up to one-eleventh of the annual salary of a fiscal year appointee.
b. Extra courses taken on voluntarily. These are courses that do not fit into the categories listed in APM - 662-8.

662-17 **Limitations on Time**

The following time limits apply:

a. Time spent on additional teaching during the academic year or when receiving University compensation or University summer compensation will be deducted from the time limits on outside activities described in APM - 025. To calculate time under the provisions of APM - 025, teaching activities consist of preparation time, contact teaching hours, office hours, grading, supervision of Teaching Assistants, etc.

b. The following rules must be used for calculating time under APM - 025, regardless of how much time is actually spent:

i. For traditional or hybrid in-person instructional formats (lectures, discussions), every six contact or “podium” hours spent with students equals one day.

ii. For fully online courses, hours will be determined by course units under the assumption that campuses will ensure online courses provide unit workloads equivalent to the same or similar in-person course formats according to Senate Regulation 760. Each unit for an online course will be assumed equivalent to one “podium” hour per week. Thus, a three-unit lecture/discussion/laboratory course would count for three hours each week, or the equivalent of one day every two weeks. In some instances, the effort may be defined differently, with the Chancellor’s approval (see section iii).
iii. The Chancellor or Chancellor’s designee may grant an exception to the general rules of calculating time for a specific course or for a category of courses such as field trips and courses with electronic or online delivery components.

c. Additional teaching hours count against the limits applicable at the time the teaching takes place. For example, teaching done during the academic year must be counted toward the limits that apply during the academic year and may not be paid on a summer-ninths basis. For courses that span the academic year and the beginning or end of the summer or off-duty period, the time shall be allocated in proportion to when the work was performed.

d. Exceptions to the time limit are not allowed for faculty during any period in which they receive part or all of their salary directly charged to contracts and grants.

662-24 Authority

The Chancellor may grant exceptions to the time limits under any of the following conditions:

a. To specific individuals who wish to teach beyond the limits, or to a specific additional teaching program, such as a self-supporting degree program, which would then apply to all individuals teaching in that program. Any individual who teaches beyond the time limits assumes full responsibility for ensuring that full-time effort is devoted to regular University duties.

b. When course assignments are reduced due to other University service, such as serving as department chair.
c. The Chancellor also has the authority to make exceptions to the general time calculation rule. See APM - 662-17 on Limitations on Time.

d. Requests for other exceptions to policy, such as payment for courses taught off-site or in University-sponsored for-profit programs, shall be recommended for approval by the Chancellor to the Provost and Executive Vice President—Academic Affairs.

e. Exceptions shall be made in writing prior to the conduct of additional teaching.
Policy

Academic appointees, including University Extension (UNEX) appointees, may receive additional compensation for UNEX teaching in accordance with this policy.

Criteria

UNEX academic appointees may receive additional compensation for UNEX teaching provided the following requirements are met (see APM - 663-18 for restrictions on payment):

a. The appointee receiving additional compensation has no direct or delegated financial authority or academic responsibility for directing or organizing the program in which he or she is teaching.

b. The Dean approves any compensation arrangement in advance. The Dean or the Dean’s designee will assure that services rendered are in addition to and do not conflict with the employee’s primary professional responsibilities.

Eligibility

a. UNEX appointees whose primary appointment is in UNEX as Continuing Educators and Academic Coordinators.

b. Faculty titles covered by this policy as listed in APM - 110-4(15).

c. Full-time Lecturers, Associates and Acting Instructors are eligible to teach one course in UNEX during the academic year.

d. To ensure that the University employment of one enrolled as a student does not interfere with his/her work as a student and his/her timely progress toward a degree, the appointments of Teaching Assistants, Teaching Fellows and
Graduate Student Researchers are limited to half-time inclusive of all appointments during the academic year.

e. Teaching Assistant, Teaching Fellow, Associate and Acting Instructor and Graduate Student Researcher titles may teach for UNEX only during the summer, provided that this work does not interfere with the performance of duties in the graduate student academic title.

f. Medical Residents may be employed in Medical Extension programs as authorized by the Chancellor with the understanding that (1) the authorization may not be extended to Interns, (2) each Resident may work on only one course per term and (3) all Resident appointments to Medical Extension must have the prior approval of the Dean of the School of Medicine and Dean of UNEX.

g. Other academic appointees provided the work is performed exclusively outside the appointees’ regular work hours or if they have received prior approval from their supervisor.

h. Faculty participating in the Health Sciences Compensation Plan are subject to the Plan and local campus Implementing Procedures regarding income from additional University teaching.

i. Prior approval from the home campus/department is required when employing faculty from other UC campuses.
663-16 **Restrictions**

A UNEX appointee may not receive additional compensation for teaching that is part of the individual’s regular duties. If teaching assignments are a customary part of the individual’s duties, that teaching load is considered as part of the appointee’s regular job.

663-18 **Salary**

a. UNEX Appointees

i. The rate of pay will be consistent with pay earned by others for the same instructional services. Additional compensation may be provided for teaching that is occasional and not regular.

ii. There is no dollar or percentage limitation on the amount that may be earned for teaching because it is anticipated that a UNEX appointee will teach a course only on an occasional basis and not regularly. “Teaching done regularly” is defined as teaching one or more courses every year.

iii. In no event should such compensation exceed 20 percent of the annual salary rate in one year’s time.

b. Academic Year Faculty

i. When the UNEX teaching or related work is performed during the summer or off-duty term, a full-time academic year faculty member may be paid up to one-third of his or her nine-month salary rate for performing work in UNEX programs.
ii. When the faculty member is receiving payment from other University sources during the summer or off-duty term, he or she may not receive more than three-ninths for all such services combined.

iii. In any summer period or off-duty term, when a faculty member earns up to three-ninths in University summer salary, a faculty member may also engage in additional work in UNEX programs up to a limit of one day per week inclusive of all outside professional activities performed during the period in which University compensation is received. (See APM - 025, Conflict of Commitment and Outside Professional Activities of Faculty Members.)

c. Fiscal Year Faculty

A full-time fiscal year faculty member may use accrued vacation leave in order to receive compensation for UNEX teaching and related work up to a limit of one-twelfth the annual salary. Fiscal year faculty may not earn University compensation above the one-twelfth limit. Fiscal year faculty may also use APM - 025 days to increase the amount of time they may spend on additional teaching given appropriate local approval.

d. Academic Appointees

Other full-time academic appointees may engage in UNEX teaching provided the work is performed exclusively outside the appointee’s regular work hours or if they have received approval from the department chair.

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1 This is effective for appointments made July 1, 2013 or later. Those appointed prior to July 1, 2013 to the Professor, Astronomer or Agronomist series are eligible for payments of up to one-eleventh of the annual salary of a fiscal year appointee.
e. Reporting Under APM - 025

Faculty covered by APM - 025 must report UNEX teaching or related work as a Category II activity when it is performed during the service period.
664-0 **Policy**

If not regularly engaged on the project concerned, a member of the faculty (as defined in APM - 110-4-15 may receive additional compensation for occasional consultant services on projects conducted under the auspices of the University. Service on projects conducted under the auspices of the University is an activity separate from consulting as defined under APM - 025. If the project is financed by extramural funds, the grant or contract should be examined to determine whether it prohibits such compensation. (See also APM - 380 and APM - 600-14-a.)

664-18 **Amount**

Faculty consultants are paid at a negotiated rate which is approved by the Chancellor, Lawrence Berkeley National Laboratory Director or equivalent official at the campus or UC location where the consulting is done. The maximum amount per day which is permitted is the daily rate plus an additional 30 percent which may be paid in consideration of the fact that there are no benefits for such services.

The daily rate for academic-year appointees is determined by dividing the appointee’s total nine-month salary by 171. For fiscal-year appointees, the daily rate is determined by dividing the total annual/negotiated salary by 236.

664-24 **Authority**

a. Authority to approve receipt of additional compensation for services as a faculty consultant rests with the Chancellor of the faculty member’s home campus.
b. The official at the location where the consulting is performed must notify the Chancellor at the faculty member’s home campus in advance of the activity being performed so that the approval to pay the faculty member is obtained prior to the service being performed.
666-0  **Policy**

Academic appointees may receive honoraria for lectures and similar services in accordance with this policy. For additional compensation involving lectures and similar services under the auspices of University Extension, see APM - 663.

666-1  **Reimbursement of Expenses**

An academic appointee may be reimbursed for allowable expenses\(^1\) incurred in presenting lectures and similar public appearances on campuses of the University other than the campus or campuses on which the appointee normally serves.

666-4  **Definition**

An honorarium is defined as a payment provided to an academic appointee for services for which fees are not legally or traditionally required. For academic appointees, services rendered may be related to recognized University duties, but the service falls outside normal academic responsibilities due to the nature of the work or where it is performed (e.g., delivering an occasional lecture at a campus other than the home campus). Honoraria, for the purpose of this policy, is defined as payment by the University to an academic appointee for occasional lectures and similar public appearances beyond normal academic responsibilities to the University. Honoraria may be paid only under the conditions described in Section 666-8 below.

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1 See Business and Finance Bulletin G-28 for guidelines related to reimbursement of business and travel expenses.
Types of Honoraria

a. Seminars, Lectures or Campus-Sponsored Program Reviews
   Academic appointees may receive honoraria for seminars, lectures or UC-sponsored program reviews when these activities occur on any campus or location of the University, including the campus or location at which the appointee normally serves.

b. University-Sponsored Conferences, Panels and Concerts/Creative Works
   Academic appointees may receive honoraria for concerts or other creative work or for University-sponsored conferences and panels when these activities occur on any campus or location of the University, including the campus or location at which the appointee normally serves.

Restrictions

No academic appointee may receive additional compensation for any activity relating to departmental personnel actions or ad hoc committees, service on thesis committees or service on campus or systemwide committees (including systemwide program review committees), except as stated in APM - 666-8.

Amount

a. There is no set dollar amount for honoraria as defined in this policy. The honorarium may be subject to negotiation in each case but may not exceed an amount stipulated periodically by the Provost and Executive Vice President—Academic Affairs.

b. Total annual additional compensation for lectures or similar services as
described in APM - 666-8-a and -b may not exceed 10 percent of the faculty member’s annual base salary.

666-22 Funds

Compensation to full-time faculty for lectures or similar services as described in APM - 666-8-a and -b may not be made from State funds, but is permitted from gifts, endowments, contracts and grants with specifically budgeted provisions for such honoraria, Chancellor’s discretionary funds or similar sources.

666-24 Authority

a. Authority to approve honoraria as defined in this policy is delegated to each Chancellor.

b. In cases where the activity related to the honoraria occurs on a campus other than the campus or campuses on which the appointee normally serves, the Chancellor of the sponsoring campus must approve and notify the home campus of the activity in advance of the activity being performed. The home campus must authorize that the academic appointee is eligible to receive the honorarium prior to payment.

c. When the activity related to the honoraria occurs under the sponsorship of a major Department of Energy Laboratory, the home campus must be notified of any honoraria prior to payment.

d. It is the responsibility of the home campus to monitor the total annual compensation paid for these services in accordance with APM - 666-18-b.
Policy
Within the limits established in Section 600-14-b, an academic appointee may receive additional compensation for services rendered in connection with extramurally funded research projects undertaken by the University, unless the terms of the appointee’s University appointment prohibits acceptance of additional compensation.

Restrictions
Agency (e.g., NIH, NSF) maximum salary caps must be observed and State funds may not be used to pay for any cap gaps other than the Health Sciences Compensation Plan Scale 0 that may result from such maximum amounts.

Rate
Additional compensation for extramurally funded research is computed at a rate equivalent to the appointee’s total negotiated salary effective at the time the research is conducted. See APM - 600, Appendix 1, for guidelines on calculating the rate of compensation.
680-0 **Policy**

This policy provides instruction on the conversion of salary for faculty who transfer from a campus to the Lawrence Berkeley National Laboratory (Laboratory), or when a faculty member holds a concurrent appointment at a campus and at the Laboratory simultaneously.

680-14 **Eligibility**

a. This policy applies to faculty who transfer permanently to the Laboratory on either a full-time or part-time basis.

b. This policy applies to individuals whose primary appointment remains with a campus and who are eligible to earn additional compensation through the Laboratory for services not directly related to their regular academic year duties.

680-16 **Restrictions/Limitations**

No contract between the University of California and the Laboratory shall include a provision for a higher rate of salary.

680-18 **Salary Rate**

a. The faculty member’s academic year salary, excluding administrative stipends and any other additional compensation, shall be the basis on which the fiscal year salary will be calculated and paid by the Laboratory.
b. If the faculty member’s regular salary is paid on an academic year basis, the
   Laboratory will convert the salary to a fiscal year basis. The calculation is made by
   increasing the academic year salary by 16 percent and rounding to the nearest $100.

c. The faculty member’s fiscal year salary paid by the Laboratory is covered
   compensation for purposes of the University of California Retirement Plan.

d. Faculty paid by a campus on an academic year basis may be employed at the
   Laboratory during the summer with additional compensation for such service paid at
   the rate of one-ninth of the academic year salary for each month of summer service,
   not to exceed three months.

e. Faculty paid by the Laboratory on a part-time basis during the academic year shall be
   paid at the rate of one-twelfth of an academic year salary.

f. Faculty paid by a campus on a fiscal year basis may be employed at the Laboratory
   and compensated at their fiscal-year salary rate. In addition, the Chancellor may
   approve payment of one-twelfth\(^1\) of the annual salary of a fiscal-year appointee as
   additional compensation for work performed during his/her vacation. An appropriate
   number of accrued vacation days must be deducted.

g. Compensation paid to faculty who accept employment at the Laboratory will be
   made in accordance with established University policies.

\(^1\) This is effective for appointments made July 1, 2013 or later. Those appointed prior to July 1, 2013 to the
Professor, Astronomer, or Agronomist series are eligible for payments of up to one-eleventh of the annual
salary of a fiscal-year appointee.
680-20 **Terms/Conditions of Employment**

a. Faculty members transferring permanently from a campus to the Laboratory shall permanently vacate the portion of the campus appointment that is transferred to the Laboratory. This means resignation from the faculty appointment or acceptance of the appropriate permanent reduction in the percentage of the appointment.

b. Temporary appointments to the Laboratory on either a full-time or part-time basis may be established on an annual basis through a Memorandum of Understanding between the Laboratory and the campus. Such appointments should be made to correspond with the academic year.

680-24 **Authority**

Such appointments or transfers require the Chancellor’s approval and the concurrence of the Laboratory Director or Laboratory Director’s designee.
MODEL COMMUNICATION

The University invites comments on Proposed Revised Academic Personnel Manual (APM) Section IV, Salary Administration (APM - 600 Series) as described below:

The proposal is responsive to campus requests to update the series in accordance with current policy implementation, to correct outdated delegations of authority and to update procedural information in conformance with the UCPATH initiative.

The proposal is located on the UCOP Academic Personnel website, “Policies under review”, under the “Systemwide Review” tab at http://www.ucop.edu/academic-personnel/academic-personnel-policy/policies-under-review/index.html. It also may be viewed at (e.g., the campus Academic Personnel Office).

The first document in the online pdf (the APM 600 Series Table of Contents) is in strike-out format. It has been included in this format to reflect where policies may have been merged into other policies, as well as to reflect policy name changes updates where necessary. The second document in the online pdf is an at-a-glance table which provides a summary of all APM - 600 series proposed policy revisions. The revised policies follow these documents in numerical order.

If you have any questions or if you wish to comment, please contact _______________ at ____________________, no later than ________________ 2013.
## UNIVERSITY OF CALIFORNIA
### ACADEMIC SENATE
### UNIVERSITY COMMITTEE ON ACADEMIC FREEDOM
### NOTICE OF MEETING
Thursday, March 21, 2013, 10:00 a.m. – 4:00 p.m.
UC Office of the President – Room 5320
Academic Senate Phone: 510.987.9143
http://www.universityofcalifornia.edu/senate/ucaf

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<tr>
<th>Action</th>
<th>Item</th>
<th>Enclosure</th>
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<tr>
<td>10:00-10:10</td>
<td>I. Announcements – UCAF Chair Cameron Gundersen</td>
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<tr>
<td>10:10-10:15</td>
<td>II. Consent Calendar</td>
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<td>10:15-10:45</td>
<td>III. APM 210</td>
<td>See Link</td>
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<tr>
<td>Information/</td>
<td>UCAF will discuss removing controversial wording in APM 210 that currently</td>
<td></td>
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<tr>
<td>Discussion</td>
<td>appears to prescribe certain research results and unduly reward efforts related</td>
<td></td>
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<td></td>
<td>to diversity. The link to APM 210 is:</td>
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<td>10:45-11:15</td>
<td>IV. Campus Climate and Harassment of Muslim and Arab Students</td>
<td>2 (pp. 9-43)</td>
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<tr>
<td>Information/</td>
<td>UCAF will discuss the harassment of Muslim and Arab Students at UC and</td>
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<tr>
<td>Discussion</td>
<td>American Civil Liberties Union reports about campus climate.</td>
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<td>11:15-11:45</td>
<td>V. Consultation with the Academic Senate Leadership</td>
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<td>Information/</td>
<td>• Bob Powell, Chair, Academic Senate</td>
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<tr>
<td>Discussion</td>
<td>• Bill Jacob, Vice Chair, Academic Senate</td>
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<tr>
<td>11:45 to 12:00</td>
<td>Working Lunch</td>
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<td>12:00-12:30</td>
<td>VI. The Role of Faculty in Faculty Recruitment</td>
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<td>Information/</td>
<td>UCAF will discuss the decreasing involvement of faculty in faculty recruitment.</td>
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<td>Discussion</td>
<td>VII. The Special Nature of Universities with Respect to FOIA/PRA Requests</td>
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<td></td>
<td>UCAF will discuss the special nature of the university and the effect this special nature has on FOIA/PRA matters. The committee will discuss the need for standard operating procedures for document retention and destruction within UC and campus committees.</td>
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<td>12:30-1:00</td>
<td>VIII. External Interference in Academic Matters at UC</td>
<td>See Link</td>
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<tr>
<td>Information/</td>
<td>UCAF will discuss the issue of external interference in academic matters at UC, which is described in the Daily Cal article at the following link:</td>
<td></td>
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<tr>
<td>Discussion</td>
<td><a href="http://www.dailycal.org/2013/02/15/brown-is-wrong-on-research/">http://www.dailycal.org/2013/02/15/brown-is-wrong-on-research/</a></td>
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1:30-2:00  
Information/Discussion  
IX. Permissible Instruction versus Political Indoctrination  
UCAF will discuss a request received by the UCSC CAF to state the criteria used to differentiate instruction in courses that is political indoctrination (which is naturally forbidden) from permissible instruction under the protection of academic freedom.

2:00-2:30  
Information/Discussion  
X. The Electronic Privacy and Information Security Initiative  
UCAF will discuss the systemwide University of California Privacy and Information Security Initiative which provides a formal structure and process for discussion of evolving privacy and information security issues and development of systemwide policies and guidance. Details of their mission are given at: http://privacyinitiative.universityofcalifornia.edu/

2:30-3:00  
Information/Discussion  
XI. APMs 010 and 015  
UCAF will discuss the results of the systemwide review of revisions to APMs 010 and 015.

3:00-3:30  
Information/Discussion  
XII. Guidelines for Investigating Alleged Violations of Academic Freedom  
UCAF will consider drafting guidelines to assist campus committees on academic freedom with the investigation of alleged violations of academic freedom.

3:30-3:45  
Information/Discussion  
XIII. Senate Bill 520  
UCAF will discuss the Senate Bill 520, a bill introduced by state Senate President Pro Tem Darrell Steinberg, which would allow students to use online courses to satisfy lower-division degree requirements.

3:45-4:00  
Information/Discussion  
XIV. Campus Reports and Member Items  
UCAF members report on issues facing local committees and campuses.

Agenda Enclosures:
1) UCAF November 8, 2012 Meeting Minutes
2) Materials on campus climate and harassment of Muslim and Arab Students at UC
3) Results from systemwide review of APMs 010 and 015
4) Draft guidelines for investigating alleged violations of academic freedom
5) Summary of SB 520
## COUNCIL ON FACULTY WELFARE ISSUES UNDER REVIEW

<table>
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<tr>
<th>Issue</th>
<th>Date Received</th>
<th>Date of CFW Mtg.</th>
<th>Designated Reviewers</th>
<th>Action Required w/Response Deadline</th>
<th>Review Complete</th>
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<tbody>
<tr>
<td>1. UC Retirement Plan - Ongoing Issue</td>
<td></td>
<td>Status reports will be provided when available</td>
<td></td>
<td>CFW Chair reports at all meetings if information is available from UCFW or Senate Cabinet meetings.</td>
<td>Ongoing issue</td>
</tr>
<tr>
<td>2. Emeriti Issues from Subcommittee on Emeriti Affairs</td>
<td></td>
<td>Status reports at all meetings.</td>
<td>Emeriti Subcom.</td>
<td>Status Reports may be provided at all meeting. Issues to consider: - Are there new issues with increase in retirements? - Office space and staff support issues for retired faculty - Recalls: Are there new issues and policy implications?</td>
<td>Ongoing issues</td>
</tr>
<tr>
<td>Resolution from the Emeriti Re: Request for UCI to consider a retirement community for the campus</td>
<td>5/8/12</td>
<td></td>
<td></td>
<td>Resolution – Requested CFW’s support. CFW approved a statement that will be forwarded to the Senate Chair. memo dated 5/24/12. Senate Cabinet endorsed CFW’s statement at its mtg. on 6/5/12. A memo was forwarded to the EVC/Provost requesting consideration for a retirement community at UCI (6/13/12). Follow-up with Luisa for an update re: discussions during the summer. Report at 1st FQ Meeting</td>
<td>Yes</td>
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<tr>
<td>3. Faculty Housing (University Hills and ICHA Management)</td>
<td></td>
<td>Ongoing Issue</td>
<td></td>
<td>Issues to consider: - Future development plans for faculty housing off &amp; on campus. - When University Hills reaches build-out, will ICHA’s role as developer change. If yes, how? - defer 2012-13</td>
<td>Ongoing issue</td>
</tr>
<tr>
<td>4. Campus Child Care</td>
<td></td>
<td>Status reports will be provided when available</td>
<td></td>
<td>Gopi Meenakshisundaram will be CFW’s rep. for the Chancellor’s Advisory Com. on Child Care. Meetings: February 3, 2012, (Agenda and minutes are in CFW Status Report notebook.) June 8 meeting</td>
<td>Ongoing issue</td>
</tr>
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<td>5. OEOD’s Data</td>
<td></td>
<td>Ongoing Issue</td>
<td>AA&amp;D Subcom.</td>
<td>Gwen Kuhns Black provides CFW with data and reports when available.</td>
<td>Ongoing issue</td>
</tr>
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<td>6. Elect a Vice Chair for CFW</td>
<td></td>
<td></td>
<td></td>
<td>Vice Chair would attend Cabinet mtgs. when Chair is not available.</td>
<td>Ongoing issue</td>
</tr>
<tr>
<td>7. Parking and Transportation Services – Annual Report from Director Ron Fleming</td>
<td>Annual Report</td>
<td>Usually a Spring Quarter Meeting</td>
<td>-</td>
<td>Information Item – No action</td>
<td>Annual Report</td>
</tr>
<tr>
<td>8. UCI Librarian – invite new UCI Librarian, Lorelei Tanji</td>
<td></td>
<td>Brought Forward from last year</td>
<td>-</td>
<td>Invite new UCI Librarian to report.</td>
<td></td>
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<td>9. Senate Membership for Clinical Professor</td>
<td></td>
<td>10/25</td>
<td>All</td>
<td>College of Medicine will be asked about its plans to improve morale for Clinical Professors. Memo sent to Dean Clayman, School of Medicine (11/15/11) Dean Clayman’s memo of response (12/27/11)</td>
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<td>Mtg. Date</td>
<td>Reviewers</td>
<td>Action Required w/ Response Deadline</td>
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| Faculty Welfare – Mental Health Support Issues | Brought forward from last year | 1/10/12 | The Senate Cabinet has asked CFW to review current policies and procedures, identify areas where faculty mental health policy can be strengthened, and propose new policies as needed. Improving campus awareness of available options is also needed.  
- CFW Work Group (Gopi, Guidotti, Olivieri) will gather information and report back. | On Hold |
<p>| | | | | | |
|       |      |           |           |                                     |           |
| 11.   |      |           |           |                                     |           |
| ICHA Priority Sales List | ? | 6/12/12 | Invited to present info on Mental Health Initiative and discuss awareness programs at UCI | On Hold |
|       |      |           |           |                                     |           |
| 12.   |      |           |           |                                     |           |
| Memorial Resolutions | Ongoing CFW duty – see Irvine Bylaw 99 | 10/30/12 | CFW’s bylaw includes a duty for requesting memorial resolutions from Dept. Chairs when a faculty member dies. When received, the Memorial Resolution will be published in the next Divisional Senate Assembly Agenda under Section 5. Special Orders – Consent Calendar. The document will also be forwarded to the UC Senate Office for publication. | Annual Responsibility |
| For more information – see notebook w/ procedures and records on Carol’s bookcase. |       | 11/27/12 |                                       |           |
|       |      |           |           |                                     |           |
| 13.   |      |           |           |                                     |           |
| Hearing Issues | Brought forward from last year | 6/12/12 | Emeriti Member of CFW requested assistance in improving the sound quality in the Senate Conference Room, sent along a NY Times’ article + offered several options. Disability Services has been contacted – awaiting a reply | Annual Responsibility |
|       |      |           |           |                                     |           |
| 14.   |      |           |           |                                     |           |
| UCI Mental Health Initiative | 10/30/12 | 11/27/12 | Gopi Meenak. | Council to review 3 point list for mental health issues and review statement for Cabinet to forward to Interim EVC | Annual Responsibility |
|       |      |           |           |                                     |           |
| 15.   |      |           |           |                                     |           |
| Graduate Student Mentorship | 03/17/13 | 04/2013 | Victor Quintanar | | Annual Responsibility |</p>
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<th>Issue</th>
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<th>Mtg. Date</th>
<th>Reviewers</th>
<th>Action Required w/ Response Deadline</th>
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<tr>
<td>16. UC Climate Survey</td>
<td>Brought</td>
<td>Monthly</td>
<td>Gwen Kuhns Black, OEOD, reported on issue and will provide updates. Grace Tonner will be CFW Rep to UCI Work Group</td>
<td></td>
<td>Trial began 01/14/13 and to end on 02/14/13</td>
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<td></td>
<td>forward from last year</td>
<td>updates when available</td>
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<td>17. Smoke-Free Policy Proposal</td>
<td>Brought</td>
<td>Monthly</td>
<td>Smoke-Free Policy Proposal – Information Item Michelle Garfinkel and Bruce Blumberg will represent CFW on Chancellor’s committee which will work on implementation plan for UCI. Ramona Agrela and Joe DiMento to attend Feb. 12 CFW meeting.</td>
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<td>forward from last year</td>
<td>updates when available</td>
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<td>18. Chancellor’s advisory Committee on the Status of Staff (CACSS – Diversity Subcommittee)</td>
<td>Brought</td>
<td>Monthly</td>
<td>New Chancellor’s Advisory Committee. Gwen Kuhns Black, a CFW Consultant, is a member and will provide CFW w/ information.</td>
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<td>forward from last year</td>
<td>updates when available</td>
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<td>19. Campus Diversity Roundtable</td>
<td>Brought</td>
<td>Monthly</td>
<td>Grace Tonner will represent CFW and will have the opportunity to report at CFW’s monthly meetings. Gwen Kuhns Black may also report.</td>
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<td>forward from last year</td>
<td>updates when available</td>
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<td>UNIVERSITYWIDE SENATE ISSUES UNDER REVIEW</td>
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<td>27. UC Review of APM 430</td>
<td>03/06/13</td>
<td>03/12/13</td>
<td>Subcom on FW</td>
<td>Review and Comment by March 26.</td>
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<tr>
<td>28. UC Review of APM 700</td>
<td>02/26/13</td>
<td>03/12/13</td>
<td>Subcom on FW</td>
<td>Review and Comment by March 15.</td>
<td></td>
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</tbody>
</table>

OTHER BUSINESS THAT REQUIRES ACTION

None

Updated 4/3/2013
March 18, 2013

MARY GILLY, CHAIR
ACADEMIC SENATE, IRVINE DIVISION

RE: Final Review of APM-430, Visiting Scholars

The Council on Faculty Welfare, Diversity, and Academic Freedom (CFW) discussed the proposed new policy APM-430, Visiting Scholars at its meeting on March 12, 2013. The proposal is responsive to campus requests to create a new title to accommodate domestic and international visitors who are students enrolled in universities in the United States and abroad, and academics employed at other institutions who are visiting the University of California for short-term academic or cultural exchange experiences.

The Council continues to support the proposal. However, as one of the systemwide reviews have pointed out, this issue deals with non-UC employees especially when it specifies 0% pay for those in this title, while the purpose of the APM is to list the rules and regulations that govern employees. This brings in the question of why it requires a change in APM. The Council believes that if these visitors are added to the payroll system (with 0% salary), and thus treated as employees, there will be several benefits that follow including library privileges, a university/campus email id, and liability insurance. In the absence of such clear intention of adding the visitors under this new title to the payroll system, it is difficult to evaluate the advantage of this new title. Consequently the Council suggests this intention be made clear in the redrafting of APM-430.

CFW appreciates the opportunity to comment.

Gopi Meenakshisundaram, Chair
Council on Faculty Welfare, Diversity, and Academic Freedom

c: Luisa Crespo, Executive Director
   Shira Long, Senate Analyst
March 18, 2013

MARY GILLY, CHAIR
ACADEMIC SENATE, IRVINE DIVISION

RE: Final Review of APM-700, Leaves of Absence

The Council on Faculty Welfare, Diversity, and Academic Freedom (CFW) discussed the proposed revisions to APM-700, Leaves of Absence for final review at its meeting on March 12, 2013. This policy is proposed to address circumstances under which an academic appointee chooses not to return to his/her University appointment following the expiration of a leave of absence, or chooses to be absent from that appointment without obtaining prior approval for a leave. The presumptive resignation policy is designed to prompt an appointee in such circumstances to take affirmative steps to counter the University’s presumption that the appointee’s intention is to resign the University appointment.

A few small yet important changes were suggested by the various campuses, most of which were ignored while at the same time it was stated that they had been incorporated. Examples of these include increasing the time from 30 days to 60 or 90, adding language explicitly stating that the policy should not apply in cases where the University knew, or should have known the faculty member was unable to communicate, and explicitly stating that the faculty member who could prove that s/he was unable to communicate would be reinstated.

The Council does not feel they can support this policy as written and question the motivation for its design and implementation without these important changes and additions.

CFW appreciates the opportunity comment.

Gopi Meenakshisundaram, Chair
Council on Faculty Welfare, Diversity, and Academic Freedom

c: Luisa Crespo, Executive Director
Shira Long, Senate Analyst
March 18, 2013

MARY GILLY, CHAIR
ACADEMIC SENATE – IRVINE DIVISION

RE: UC’s Undergraduate Financial Funding Policies and Strategies

The Council on Faculty Welfare, Diversity, and Academic Freedom reviewed the three options for setting UC’s financial aid commitment starting in 2014-15 via its blog. The options provide alternatives to the status quo, in which UC would continue its current revenue-driven financial aid strategy of augmenting existing UC grants by an amount equal to 33% of new systemwide undergraduate tuition and fee revenue.

CFW believes this is an issue best reviewed by the Councils related to undergraduate education and has chosen to opt-out.

The Council appreciates the opportunity to comment.

Gopi Meenakshisundaram, Chair
Council on Faculty Welfare, Diversity, and Academic Freedom

c: Luisa Crespo, Executive Director
   Shira Long, Senate Analyst
March 12, 2013

MARY GILLY, CHAIR
ACADEMIC SENATE – IRVINE DIVISION

RE: Senate Cabinet Review of Negotiated Salary Trial Program Implementation Procedures

The Senate Cabinet discussed the Negotiated Salary Trial Program (NSTP) Implementation Procedures for the UC Irvine campus at its meeting on March 5, 2013 at the request of Interim Executive Vice Chancellor and Provost, Susan Bryant. Below is a summary of the feedback offered by Cabinet for Interim EVC/P Bryant to consider:

**Annual Report**

On page 7 of the UC template for implementation procedures, the last bullet under “CAP Responsibilities” says “Review post audit annual reports on participation; provide feedback to EVC if there are issues or concerns.” Although the Summary (page 2) says the Senate and CAP will advise the Chancellor and EVC/P on the NSTP, Cabinet members felt it should be clearly listed in the Implementation Procedures between X. and XI. Otherwise, this important step of CAP receiving an annual report might be overlooked. It’s also unclear what data will be in the annual report to CAP, but it seems that a system-wide committee will decide on the program evaluation metrics, and hopefully all the relevant data that will be used in these evaluations will be included in the report.

**Compensation Components**

In section III. Compensation Components, subsection D. Summary Salary, members noted that the sentence “Faculty must maximize summer ninth opportunities before utilizing the NSTP.” should be reconciled with the first sentence on the next line, “Summer ninths shall be paid at the TUCS rate.” and along with more information on how to calculate summer salary.

**Evaluation Proposals**

In Section IX. Evaluation of Proposals, members made two suggestions. First, since Irvine is one of the campuses in which CAP reviews salary recommendation, Option A of the system-wide implementation guidelines is more suitable for our campus. CAP needs to be involved in the approval process shown in Attachment C-1 between Dean Review and Vice Provost Review, and between the clauses C and D of Section IX. Second, we suggest that Equity Advisor be informed and sent materials for informal review and comment.

**Program Evaluation Metrics**

UC Provost Dorr, had mentioned in her letter that representatives from campuses will be solicited to form a committee to develop program evaluation metrics for system-wide implementation of NSP. During our last UCFW meeting at UCOP, I found from Vice Provost Carlson that she is waiting on nominations from a few campuses, including UCI, and system-wide senate. Please take this opportunity to request a nomination of a member, preferably an expert in program evaluation, from our campus as soon as possible.

I am available to discuss and/or relay any other questions or concerns regarding the implementation process.

Gopi Meenakshisundaram, Chair
Council on Faculty Welfare, Diversity, and Academic Freedom

c: Luisa Crespo, Executive Director
March 20, 2013

MARY GILLY, CHAIR
ACADEMIC SENATE – IRVINE DIVISION

Re: Negotiated Salary Trial Program Draft Implementation Procedures

Thank you for providing the Irvine Division’s feedback on the Negotiated Salary Trial Program. Concurrent with Senate review, we have engaged a number of campus partners in the consultative process including the Office of Research, Graduate Division, Contracts and Grants Administration, the Budget Office, Summer Session, Campus Personnel Officers, and numerous faculty and senior administrative staff.

In response to Senate feedback, conversations with Senate leadership, and input from other campus partners, I am providing you with the attached modifications to the Draft Implementation Procedures and accompanying forms. Also attached are copies of the modified documents.

Please review the enclosed items. Pursuant to Provost Dorr’s request to share Campus Administration’s assessment of the consultative process, I want to commend you and the Divisional Senate for your energy and candor in helping to address issues in the drafts that were circulated. Senate committees such as CAP and the Council on Faculty Welfare have been extremely helpful in providing information, clarifying and distilling concepts, and recommending edits. As a result, we are well on our way to being able to administer the trial program on July 1, 2013.

Finally, we have received your recommendations for campus representatives to serve on a system-wide committee to develop program evaluation metrics. We are evaluating additional nominees from campus offices for this important role who are likewise familiar with program evaluation and data collection. I will advise of my decision on Friday.

Thank you for your continued cooperation and support in moving the Trial Program forward. If you have comments with regard to the amendments to the procedures and/or the consultative process, please send them to me via Stella Marks (sgmarks@uci.edu) by Friday morning, March 22, for inclusion in our package to UCOP.

Sincerely,

Susan V. Bryant, Ph.D.
Interim Executive Vice Chancellor and Provost

Enclosures

C: Vice Provost Killackey
Summary of Changes to Draft Implementation Procedures
Based on Campus Feedback - March 19, 2013

1. I.C.1. – added “on-cycle” (e.g., last “on-cycle academic review) pursuant to CAP input.
2. I.C.3. – language in section modified pursuant to Academic Senate input.
3. I.C.5 – Language modified pursuant to CGA input.
4. I.C.6&7. – Section added to include policy compliance to conform to UCOP template, and language added pursuant to CGA input.
5. II.A. – “royalties, licensing fees” deleted, to conform to UCOP template and pursuant to ORA input.
6. II.B. – last sentence added pursuant to input from CPOs.
7. III.A.- acronym added for increased clarity and consistency in document.
8. III.D.1&2. – Sections split, language added to increase clarity, pursuant to input from CPOs, CGA, and Academic Senate.
9. III.D.2. – Language added to capture all summer teaching.
10. III.D.4. – Language modified pursuant to CGA input.
11. VI.B. – Language removed to correct policy reference.
12. IX (omni) – Text modified pursuant to feedback from CFWDA Chair Meenakshisundaram and CAP Chair Alan Terricciano, to include CAP review of “good standing” criteria only, for all proposals.
13. IX.A.1. – correction to reflect proper reference pursuant to Academic Senate input.
14. IX.A.3. – Language modified pursuant to CGA input.
15. IX.B-F. – modification to reflect Academic Senate input.
16. X. – “Reserve” fund changed to “contingency” fund for increased clarity regarding purpose.
17. X.A. – language modified based on input from Budget Office, CPOs, Academic Deans, and Assistant Deans.
18. X.A.1. – Language modified to specify percentage amount of contribution to contingency fund, to provide increased guidance on creation of contingency fund.
19. XI. – Language added to conform to UCOP template and based on Academic Senate input (esp., including Equity Advisor on list of report recipients).
20. Form A-1, Trial Compensation Request, has been revised to require applicants to list all FTE supported by external sources in the year of- and prior to- plan participation. Applicants must list the title code, working title, percentage FTE/total dollars, and dates of support. Applicants will be required to explain any staff reductions in an effort to monitor impact on graduate students and postdocs.
21. A-2, Trial Compensation Request Verification/Approvals, has been modified to more carefully articulate Business Officer and Department Chair responsibilities, and to require Department Chairs to flag discrepancies in graduate or post-doctoral support.
The Negotiated Salary Trial Program (“NSTP”) is a five-year trial program that will allow ladder-rank faculty in participating schools to voluntarily contribute external funding resources toward their total University of California (UC) salary. The NSTP, like the well-established Health Sciences Compensation Plan, will utilize external fund sources to support a portion of the total compensation for participating ladder-rank faculty, providing incentives to generate additional non-state funding and rewarding academic merit. The NSTP will not place any additional burden on the UC Retirement Plan (UCRP).

Participants in the NSTP will remain subject to the requirements of other UC policies including, but not limited to, Conflict of Interest, Conflict of Commitment, Faculty Code of Conduct, and policies requiring submission of proposals and receipt of awards for grants and contracts through the University. External consulting and other externally compensated activities will continue to be permitted in accordance with APM 025, Conflict of Commitment and Outside Activities of Faculty Members.

I. Eligibility

A. Except for the categories of faculty listed in subsection B of this section, the NSTP is available to all UCI ladder-rank faculty in participating schools who hold at least half-time appointments, and who meet the eligibility criteria set forth in subsection C of this section. Faculty may participate upon submission of a proposal for school participation by the Dean by March 1, 2013, and approval of the proposal by the Executive Vice Chancellor and Provost (EVCP).

B. The following faculty are not eligible to participate in the NSTP:

1. Full-time deans and faculty administrators listed in APM 240 and APM 246;
2. Senior Management Group (SMG) members;
3. Faculty members appointed in a Health Sciences department and eligible to participate in the Health Sciences Compensation Plan.

C. Faculty participating in the NSTP must be in good standing according to the following criteria:

1. Advancement in rank or step at the last on-cycle academic review, or equivalent satisfactory review;
2. Fulfillment of the approved teaching load;
3. Fulfillment of research support responsibilities and staffing, including but not limited to: current and incoming graduate student employment, tuition, and benefits; postdoctoral employment; staff research positions, etc.;
4. Fulfillment of University service commensurate with rank and step;
5. All research contracts and grants are in good standing (e.g., no outstanding deliverables, or projects in unauthorized deficit, etc.);
6. Compliance with all applicable University policies (including, but not limited to the Faculty Code of Conduct, Conflict of Interest, and Conflict of Commitment); and

7. Compliance with UCI’s research policies (e.g., research conduct and administration), reporting (e.g., Patent Acknowledgment, Outside Professional Activities) and training requirements (e.g., laboratory safety, human subjects, sexual harassment prevention).

II. External Funding

A.External funding is any fund source that is not State-appropriated general funds or resident student tuition funds, including but not limited to endowment or gift income, professional degree fees, self-supporting degree fees, and contract and grant support. General Funds cannot be substituted for external funds in support of the program.

B. Funding for the Negotiated Salary Component provided under the NSTP (hereafter “NSC”) must be awarded and deposited to a UCI account prior to June 30 of the current fiscal year in order to be considered for the following year’s negotiation. e.g., Funds that will be used in FY 2013-14, must be on campus prior to July 1, 2013.

C. Adequate external funding must be available for the entire year of the proposal, without exception.

D. Funds awarded after the salary increment has been negotiated may be considered eligible compensation for the following academic year. For example, Professor A enters an NSC agreement for AY 2013-2014, which begins on July 1, 2013. In October 2013, she receives a large award that she would like to have considered for NSC. The October 2013 award is not eligible compensation for AY 2013-2014, but is eligible compensation for AY 2014-15.

E. Funding for the NSC must have a stable source, paid in accordance with any related fund source restrictions, and must be sufficient to include the related benefit costs.

F. All charges to contracts and grants must be compliant with Office of Management and Budget (OMB) Circular A-21. Effort for salaries charged to sponsored projects funded by federal sources must be accurately and appropriately calculated and timely certified.

III. Compensation Components

Participating faculty will receive their scale-based salary in addition to an optional negotiated component.

A. Scale-Based Salary (SBS). The scale-based salary is an individual’s regular scale salary rate plus any off-scale as approved at the time of hire, as a result of a retention offer, or regular academic review. The scale-based salary is considered covered compensation under the UCRP, up to the amount permissible by Internal Revenue Service Code provisions and in accordance with UCRP policy and provisions.
B. **Negotiated Salary Component (NSC).** A negotiated salary component beyond scale-based salary may be negotiated annually. The NSC is capped at 30% of the scale-based salary. The NSC is **not** considered covered compensation under the UCRP.

C. **Total UC Salary (TUCS).** The total UC salary consists of the participant’s scale-based salary plus the NSC.

D. **Summer Salary.** Faculty may earn up to three-ninths additional summer compensation for research, teaching, and/or administrative service. 

1. Summer ninths shall be paid at the TUCS rate, according to standard summer salary policies. Faculty must maximize summer ninth opportunities before utilizing the NSTP (e.g., the NSTP should not be used to shift the timing of disbursement of summer salary to an earlier period in the AY or FY cycle). Any portion of a ninth paid for service in June shall be based upon the individual’s salary in effect on June 30.

2. If summer salary compensation is based on the academic year salary, all Summer Session teaching compensation will be based upon the TUCS rate in effect on June 30 of the calendar year in which the Summer Session begins.

3. Summer salaries may come from both internal and external fund sources, and are not covered compensation under UCRP, although a special Defined Contribution benefit applies.

4. All applicable sponsor policies remain in effect for NSTP participants, including rate limitations and salary compensation limits. For example, a maximum two months’ salary in any one year may be charged to NSF grants. Sponsor salary rate and compensation caps must be observed and state funds may not be used to pay any cap gap.

E. **Administrative Stipend.** A participant in the NSTP may receive an administrative stipend, in accordance with established campus policy; however, stipends issued for official administrative roles may not be included in the NSC and must be recorded as separate payments. Administrative stipends may come from both internal and external fund sources, and are covered compensation under UCRP.

IV. **Participation Effective Dates**

A. The first effective date of the NSTP will be **July 1, 2013.**

B. The systemwide Provost may suspend the systemwide trial program on June 30 of any year. The UCI EVCP may suspend the NSTP for some or all Schools on June 30 of any year.

C. The TUCS rate will be effective July 1 through June 30. Newly hired faculty with mid-year start dates may participate from their appointment begin date through June 30.
D. The TUCS for participating faculty may not be changed for any reason, including but not limited to mid-year salary scale adjustments, retroactive merit increases, or receipt of additional contract and grant funds. Salary negotiated as part of a retention offer for participating faculty shall become effective on July 1 of the following year. If a participant’s salary is raised effective October 1 (or any date other than July 1) due to a general range adjustment or Cost of Living Adjustment (COLA), the NSC will be reduced, and the covered compensation increased, so that the TUCS remains unchanged for the fiscal year.

E. Early withdrawal from the NSTP is allowed only upon separation, retirement from the University, or as a result of an official disciplinary action, as described in APM 015 and 016 and Senate Bylaw 230.

F. Retroactive participation is not permitted.

V. Leaves of Absence

A. Sabbatical leave and other leaves with pay may be taken by NSTP participants in accordance with established campus policies. Leave will be granted at the TUCS rate in effect during the leave period.

B. State funds may be used only for the portion of a leave related to a faculty member’s scale-based salary.

C. If external fund restrictions preclude payment of medical leave, the department must provide appropriate unrestricted, non-state funds to ensure full payment of the TUCS.

D. The campus is under no obligation to continue the NSC if a medical leave continues into the next salary negotiation cycle (7/1 to 6/30).

VI. Intercampus Transfers

A. Temporary intercampus appointments, including Faculty Consultant payments, will be based on the TUCS rate in effect during the temporary appointment.

B. For permanent intercampus transfers, APM 510 applies. The NSC may not be a factor in determining a competing UC offer. If the new campus is participating in the Trial program, the faculty member must negotiate a new proposal with his/her new campus.

VII. Teaching Overload

If any portion of the NSC is based on overload teaching in a self-supporting UC program, the appropriate number of consulting days must be forfeited in accordance with APM 025.
VIII. Proposal Submission Process

A. Deans must provide all eligible faculty, as defined in Section I, with a copy of these governing rules of the NSTP.

B. No later than March 1 of each year, a call will be issued to eligible faculty by their respective Deans regarding the annual negotiation for the coming fiscal year.

C. Prior to submission of a proposal, the faculty member must verify the proposed funding source with the appropriate Fund Manager/Department Business Officer in writing. The Fund Manager/ Business Officer will confirm that the funding source is allowable, available, unencumbered, and that it will remain in place for the entire fiscal year.

D. After funding has been verified by the Fund Manager/ Business Officer, the participating faculty member should submit the NSTP Proposal Form (Attachment A) to her/his Chair, by no later than April 1.

E. Renewals are not automatic. Continuing participating in the NSTP must be renegotiated, evaluated by the Chair and Dean, and approved by the EVCP each year.

IX. Evaluation of Proposals

A. Chairs and Business Officers, in collaboration with other essential UCI personnel will review proposals to ensure that:

1. The requesting faculty member meets all good standing requirements of Section I, C;

2. The TUCS requested is consistent with these rules;

3. Allowable and appropriate resources are available to support the proposal, including the reserve fund requirement, sponsor salary cap gap, graduate student support, salary threshold levels, and research equipment.

B. The Chair will review proposals and forward all proposals with his or her signed recommendation for approval/non-approval to the Dean by no later than April 15.

C. The Dean will review proposals and forward all proposals with her or his signed recommendation to CAP, for review of whether good standing criteria has been met, by no later than May 1. CAP will forward all recommendations to the Vice Provost for Academic Personnel (VPAP), by no later than May 15.

D. The VPAP will make a final decision and inform the EVCP and Dean of approved proposals no later than June 1.

E. Upon notification by the VPAP that a proposal has been approved, the Chair will send a salary confirmation letter (Attachment B) to the faculty member confirming the faculty member’s total salary (TUCS plus any additional compensation) for the coming fiscal year. Notification of approved participation will be sent to the faculty member, Dean, Business Office, and appropriate CPO.
F. If the Chair does not recommend a faculty member’s proposal due to insufficient funding, the following process shall be followed:

1. The Chair must meet with the faculty member within five business (5) days of receipt of the proposal to discuss the relevant concern, and seek resolution.

2. If the Chair is not satisfied that funding requirements can be met, the Chair will inform the Dean and the Dean will review. If the Dean concurs, the Dean will communicate the finding to the faculty member and provide the faculty member an explanation. If the funding requirements can be reached prior to the annual deadlines, a proposal may be resubmitted.

G. Approved proposals will be documented in writing and signed by the faculty member, Chair, Dean, and VPAP.

X. Financial Responsibility

The Dean or her/his designee is responsible for managing funding of the NSTP and will cover a participant’s TUCS for the entire fiscal year period (7/1 to 6/30), even if the faculty member loses funding during the annual negotiated year period.

A. The Dean must build a contingency fund to ensure coverage of TUCS obligations in the event of an unforeseen event (e.g., Section V.C). The participating faculty member’s contribution to the contingency fund should be 10 percent, at a minimum. It is expected that the contingency fund will grow and reach steady state over a period of time. The contingency fund may be built through the contribution by each participating faculty member of either (i) released base-salary equal to 10% of the NSC to the contingency fund; or (ii) any eligible fund source (e.g., start-up, eligible contract or gift funds, etc.). If released base-salary is used, it must be replaced by an external fund source.

B. The contingency fund account minimum balance will be set by the Dean or his/her designee. If accumulations fall below this level, an increase in contribution rates or a transfer of non-state-appropriated general funds will be required to bring the balance to the required level.

C. Use of any contingency fund surplus will be discussed with the School’s Faculty Executive Committee, and approved by the Dean and the EVCP.

D. Contingency fund accumulations and expenditures shall be reported annually to the EVCP, including the consultation that occurred regarding the use of funds.

XI. Reporting to UCOP

The EVCP is responsible for reporting on campus participation in the NSTP to the Systemwide Provost annually.

A. For each year of the trial, the Campus will collect data on the following in participating Departments:

1. Funding
a. External funding utilized in connection with the trial are to be tracked by type, including, but not limited to endowment, contracts, grants (by agency), gifts, and fees.

b. Development and use of Program funds.

2. Demographic Information

a. Faculty rank and step, gender, race/ethnicity;

b. Faculty Salary, including off-scale, summer-ninths, negotiated amount;

c. Teaching loads, including those who bought out a teaching assignment during the year (data both before and during Trial period) and indication of teaching done on-load or as overload;

d. Graduate student and post-doc support by department and individual (data both before and during Trial period); and

e. Any other additional information that will be helpful in evaluating the effectiveness of the Trial Program.

B. Each annual report by the EVCP will include an administrative assessment of relevant issues, including a review of the personnel process at various stages: CAP, department chairs, and deans.

C. The EVCP is responsible for providing CAP with post audit annual reports on participation, and soliciting feedback on areas of concern, as well as the following non-exhaustive list of campus stakeholders:

1. Council on Faculty Welfare, Diversity, and Academic Freedom;

2. Dean, Graduate Division;

3. Vice Chancellor, Planning & Budget;

4. Vice Chancellor, Research;

5. Associate Vice Provost for Equity and Diversity;

6. Assistant Vice Chancellor, Institutional Research & Decision Support; and

**Attachment A-1 (Revised, March 20, 2013)**

**NEGOTIATED SALARY TRIAL PROGRAM**  
**UNIVERSITY OF CALIFORNIA, IRVINE**

*Draft Trial Compensation Request*

---

**Trial Compensation Request**

Date: ____________________  
FY _______________

**Faculty Information**

Name:  
Employee ID:  
Department/School:  
Title/Step:  
Scale-based Salary (SBC) (including off-scale)  
Administrative Stipend (if applicable)

**Participation Request**

*Negotiated Salary Component:*

Total UC Salary (TUCS) (Scale-based salary + Negotiated Salary Component):

External Fund Sources (for each, identify $ amount, account/fund, and type of funds (e.g., contract/grant))

1.  
2.  
3.  

*Contingency Fund Obligation* (for each, identify $ amount, account/fund, and type of funds)

1.  
2.  
3.  

---

Please list all FTE Supported by External Source in FY 2012-13 (year preceding participation in Program) – Include all sub-1 and sub-2 academic and non-academic FTE, including but not limited to GSRs, postdocs, staff, etc. Please include the entire fiscal year.

<table>
<thead>
<tr>
<th>Name</th>
<th>Title Code</th>
<th>Working Title</th>
<th>Percentage FTE</th>
<th>Total $</th>
<th>Dates of Support</th>
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List all FTE to be Supported by External Source in FY 2013-14 (year of participation in Program) – Include all sub-1 and sub-2 academic and non-academic FTE, including but not limited to GSRs, postdocs, staff, etc. Please include the entire fiscal year.

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<th>Name</th>
<th>Title Code</th>
<th>Working Title</th>
<th>Percentage FTE</th>
<th>Total $</th>
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</table>
*Any staffing reductions must be explained below, e.g., graduation, department transfer, funding transferred to another external source. If the reduction is for graduate student support, please describe alternative funding source:

__________________________________________________________________________________________
__________________________________________________________________________________________
__________________________________________________________________________________________
__________________________________________________________________________________________
__________________________________________________________________________________________

Approved Course Load for FY

<table>
<thead>
<tr>
<th>Quarter</th>
<th>Course no.</th>
<th>Course Title</th>
<th>Regular or Overload?</th>
<th>Total # Consulting Days (overload only)</th>
</tr>
</thead>
<tbody>
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Faculty Certification

_____ I have sufficient, eligible external funding to cover my salary and contingency fund obligations;

_____ I will not reduce my teaching, research, service, and graduate support commitments during the fiscal year of my participation in the trial program.

_____ I understand that early withdrawal from the program is allowed only upon separation from the University, or as a result of an official disciplinary action.

__________________________________________       ______________________
Employee Printed Name and Signature            Date
Attachment A-2 (Revised, March 20, 2013)

NEGOTIATED SALARY TRIAL PROGRAM
UNIVERSITY OF CALIFORNIA, IRVINE

Draft Trial Compensation Request Verification/Approvals

Instructions: Please attach NSTP Proposal to this form

Requestor’s Name:

Fund Manager Verification

Instructions: Please place your initials to the left of lines 1-5. If you are unable to verify lines 1-5, please complete line 6, with an explanation.

I have verified the following information with regard to the above-named Requestor:

1. _____ The funds listed in the request are in a UCI account/fund that is assigned to, or may be used at the discretion and approval of the requestor;

2. _____ The total dollar amount requested is within the 30 percent limit set forth by the plan;

3. _____ The aggregate of the funds listed in the request are appropriate and sufficient to cover the salary, benefits, and contingency fund obligations; and

4. _____ The funds will be in an assigned UCI account/fund, and will be available for use from July 1, 20** to June 30, 20**. These funds will be placed in reserve, for the benefit of the requestor, upon approval of this proposal by the Dean.

5. _____ The funds listed in the request are not appropriate and/or insufficient to cover the salary, benefits, and contingency fund obligations, and will be available for use from July 1, 20** to June 30, 20**.

___________________________________________________________________________________________________
___________________________________________________________________________________________________
___________________________________________________________________________________________________
___________________________________________________________________________________________________

Fund Manager Printed Name ___________________________ Date ___________________________

Fund Manager Signature

Department Chair Certification

Instructions: Please place your initials to the left of lines 1-6. If you are unable to verify lines 1-6, please complete line 7, with an explanation.

I certify that the following Trial Compensation Program eligibility requirements have been met by the Requestor, as evidenced by my verification of the following:

1. _____ I have verified that the Requestor has not reduced support for graduate students, postdocs, researchers, or any other positions tied to the listed account/funds in order to participate in the Program, in terms of:
   Total FTE
   Total Dollars
2. I have verified that the Requestor attained advancement in rank or step at the last academic review, or equivalent satisfactory review;

3. I have verified that the Requestor has fulfilled all teaching research and service obligations in FY 2012-13.

4. I have verified that the Requestor is in compliance with all applicable University policies, procedures, and training requirements, including the following:
   - Patent Agreement
   - Sexual Harassment Training
   - Outside Professional Activities
   - Lab Safety Training

5. I certify that the requested salary amount is within the norms of the department/discipline and is consistent with the UCI Negotiated Salary Trial Implementation Plan.

6. I certify that allowable and appropriate resources are available to support the Proposal, and that the Contingency Fund Requirements have been met.

7. I am not able to verify all of the items listed above. See below for additional details/instructions on deficiencies in the proposal, and recommendations for correction:

   __________________________________________________________________________
   __________________________________________________________________________
   __________________________________________________________________________
   __________________________________________________________________________

__________________________________________       ______________________
Department Chair Printed Name            Date

__________________________________________
Department Chair Signature

School/Dean Approval

I approve the Requestor’s participation in the UCI Trial Compensation Program as follows:

<table>
<thead>
<tr>
<th>Salary Component</th>
<th>Amount</th>
<th>Covered Compensation?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Scale-based Salary rate</td>
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<td>Yes</td>
</tr>
<tr>
<td>Negotiated Salary Component</td>
<td></td>
<td>No</td>
</tr>
<tr>
<td>Total UC Salary rate</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

- The Total UC Salary rate will be in effect for the period July 1, 20** to June 30, 20**
- Up to 3/9ths additional summer compensation may be earned based on the Total UC Salary rate, subject to local summer salary policies and procedures. Contract and grant salary caps apply, and may be supplemented up to the Total UC Salary rate.
- Administrative stipends may be paid in addition to the Total UC Salary rate, in accordance with local policies and procedures.

__________________________________________       ______________________
Dean               Date

Dean Signature
CAP Review

CAP reviewed the attached NSTP Proposal and accompanying documents on ______________________ for conformity with “good standing” requirements set forth in the UCI NSTP implementation procedures. Based on our review of the Proposal, we endorse/do not endorse, based on the following: (check all applicable boxes).

- Good standing requirement satisfied
- Academic Advancement requirement not met
- Insufficient teaching load for rank/step
- Insufficient University service for rank/step
- Graduate support commitments not met
- Research Grants not in good standing
- Other ______________________________

________________________________________________________________________
CAP Representative (Printed Name)            Date

________________________________________________________________________
CAP Representative Signature

Vice Provost Review

APPROVED/NOT APPROVED

________________________________________________________________________
Vice Provost for Academic Personnel (Printed Name)            Date

________________________________________________________________________
Signature