



April 3, 2013

To: Ward Beyermann, Chair
Committee on Educational Policy

Jan Blacher, Chair
Committee on Planning & Budget

Sarjeet Gill, Chair
Committee on Academic Personnel

Irving Hendrick, Chair
Committee on Faculty Welfare

Connie Nugent, Chair
Graduate Council

From: Jose Wudka, Chair
Riverside Division

**Re: Systemwide Review of Proposed Revised Academic Personnel Manual
Section IV, Salary Administration (APM – 600 Series)**

I am forwarding 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.

Enclosure

UNIVERSITY OF CALIFORNIA

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OFFICE OF THE VICE PROVOST --
ACADEMIC PERSONNEL

OFFICE OF THE PRESIDENT
1111 Franklin Street, 11th Floor
Oakland, California 94607-5200

February 25, 2013

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

**Re: Systemwide Review of Proposed Revised Academic Personnel Manual (APM)
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to campus requests to update the APM - 600 series in accordance with current policy implementation, to correct outdated delegations of authority and to make technical corrections that have been identified since the policies were last reviewed, in some instances decades ago.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.

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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

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.

SUMMARY OF PROPOSED REVISIONS TO APM - 600 SERIES

APM Section	Title	Summary of Proposed Changes
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

APM Section	Title	Summary of Proposed Changes
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 <i>administrative</i> stipends 3) Reformat 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 an 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

SUMMARY OF PROPOSED REVISIONS TO APM - 600 SERIES

APM Section	Title	Summary of Proposed Changes
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 <i>total</i> 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
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

SUMMARY OF PROPOSED REVISIONS TO APM - 600 SERIES

APM Section	Title	Summary of Proposed Changes
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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IV. SALARY ADMINISTRATION

Section Number	Section Title
APM 600	General
APM 610	Salary Increases/ General Scale
APM 615	Salary Increases/Merit
APM 620	Off-Scale Salaries for Appointments and Advancement
APM 630	Compensation of Divisional, Associate and Assistant Deans, and Directors of Organized Research Units
APM 632	Stipends/Assignment of FTE for Split Appointments with Stipends
APM 633	<u>Administrative Stipends/Academic Appointees</u>
APM 640	Regents' Professors and Regents' Lecturers, Compensation
APM 650	Technical Assistance Projects
APM 660	Additional Compensation/General
APM 661	Additional Compensation/Summer Session Teaching
APM 662	Additional Compensation/Additional Teaching
APM 663	Additional Compensation/University Extension Correspondence Courses
APM 664	Additional Compensation/Services as Faculty Consultant
APM 665	Additional Compensation/Reading Manuscripts
APM 666	Additional Compensation/ Lecturers and Similar Services <u>Honoraria</u>
APM 667	Additional Compensation/Extramurally Funded Research

**UNIVERSITY OF CALIFORNIA
ACADEMIC PERSONNEL MANUAL**

IV. SALARY ADMINISTRATION

Section Number	Section Title
APM 670	Health Sciences Compensation Plan and Guidelines on Occasional Outside Professional Activities by Health Sciences Compensation Plan Participants
APM 680	<u>Salary Calculations for Faculty with Appointments at Lawrence Berkeley National Laboratory</u> Conversion for Transfer of Academic Appointees to Laboratories
APM 690	Academic Salary Scales

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.

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.

APPOINTMENT AND PROMOTION
Regents' Professors and Regents' Lecturers

APM - 290
DRAFT

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/>.

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

APM - 110-4-(15).

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-twelfth¹ 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

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.

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**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 $\frac{3}{9}$ (one-third) of the annual salary rate.

If payments for the summer service are scheduled for or are made in equal monthly installments of $\frac{1}{9}$ 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 $\frac{1}{9}$ 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 $\frac{1}{9}$ 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)

Number of Days Worked	20-Day Month	21-Day Month	22-Day Month	23-Day Month
1	.0500	.0476	.0455	.0435
2	.1000	.0952	.0910	.0870
3	.1500	.1429	.1364	.1304
4	.2000	.1905	.1818	.1739
5	.2500	.2381	.2273	.2174
6	.3000	.2857	.2727	.2609
7	.3500	.3334	.3182	.3043
8	.4000	.3810	.3636	.3478
9	.4500	.4286	.4091	.3913
10	.5000	.4762	.4545	.4348
11	.5500	.5238	.5000	.4783
12	.6000	.5714	.5455	.5217
13	.6500	.6190	.5909	.5652
14	.7000	.6667	.6364	.6087
15	.7500	.7143	.6818	.6522
16	.8000	.7619	.7273	.6957

17	.8500	.8095	.7727	.7391
18	.9000	.8571	.8182	.7826
19	.9500	.9048	.8636	.8261
20	1.0000	.9524	.9091	.8696
21	-----	1.0000	.9545	.9130
22	-----	-----	1.0000	.9565
23	-----	-----	-----	1.0000

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**

	Service Period	Total Payment	Monthly Rate	Pay Period
Appointees to faculty titles who serve three full quarters (9/12)	Fall quarter begin date through spring quarter end date	Full annual rate (at appropriate percent time)	Annual rate/12	July 1 through June 30
Appointees to monthly student titles who serve three full quarters (9/9)	Fall quarter begin date through spring quarter end date	Full annual rate (at appropriate percent time)	Annual rate/9	October 1 through June 30
Appointees to all titles who serve two consecutive quarters in an academic year (9/9)	Fall quarter begin date through winter quarter end date	Annual rate/9 x 6	Annual rate/ 9	October 1 through March 31
	Winter quarter	Annual rate/9 x 6	Annual rate/ 9	January 1

	begin date through spring quarter end date			through June 30
Appointees to all titles who serve one quarter in an academic year (9/9)	Fall Quarter begin date through fall quarter end date	Annual rate/ 9 x 3	Annual rate/ 9	October 1 through December 31
	Winter quarter begin date through winter quarter end date	Annual rate/ 9 x 3	Annual rate/ 9	January 1 through March 31
	Spring quarter begin date through spring quarter end date	Annual rate/ 9 x 3	Annual rate/ 9	April 1 through June 30

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**

Service Period	Total Payment	Monthly Rate
I. Appointees who serve full two semesters:		
A. All ranks of faculty		
2 semesters	Full Annual Rate	Annual Rate/12
B. Appointees to student titles		
2 semesters	Full Annual Rate	Annual Rate/10
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

Appointment	Service Period	Salary Scale	Payment Period
Professor series equivalent rank, or In Residence series and Professional Research series:			
Professor series			
Faculty portion	9 months	academic year	12 months
Professional Research			
Series portion	9 months	academic year	12 months
Non-ladder rank faculty appointees with research appointment at any proportion of service:			
Faculty portion	9 months	academic year	12 months
Research portion	12 months	fiscal year	12 months

Pay Periods for Academic Year Appointees Paid on a 12-Month Basis – Quarter System

Quarter System

Pay Period	Service Period
July	Fall Quarter
August	
September	
October	
<hr/>	
November	Winter Quarter
December	
January	
February	
<hr/>	
March	Spring Quarter
April	
May	
June	

Pay Periods for Academic Year Appointees Paid on a 12-Month Basis – Semester System

Semester System

Pay Period	Service Period
July	Fall Semester
August	
September	
October	
November	
December	
<hr/>	
January	Spring Semester
February	
March	
April	
May	
June	

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:

1 month	=	1/12 of a year	=	0.08 FTE
2 months	=	2/12 of a year	=	0.17 FTE
3 months	=	3/12 of a year	=	0.25 FTE
4 months	=	4/12 of a year	=	0.33 FTE
5 months	=	5/12 of a year	=	0.42 FTE
6 months	=	6/12 of a year	=	0.50 FTE
7 months	=	7/12 of a year	=	0.58 FTE
8 months	=	8/12 of a year	=	0.67 FTE
9 months	=	9/12 of a year	=	0.75 FTE
10 months	=	10/12 of a year	=	0.83 FTE
11 months	=	11/12 of a year	=	0.92 FTE
12 months	=	1 full year	=	1.00 FTE

Using this chart:

1 quarter	=	3 months	=	0.25 FTE
1 semester	=	4 ½ months	=	0.37 FTE
2 semesters	=	9 months	=	0.75 FTE
Summer period	=	3 months	=	0.25 FTE

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 $.33 \times .67 = 0.22$ FTE

Fiscal year appointee to serve 50%

for 3 quarters $.50 \times .75 = 0.38$ FTE

Fiscal year appointee to serve 25%

for 10 months $.25 \times .83 = 0.21$ FTE

Academic year appointee to serve 33%

for 1 semester $.33 \times .50 = 0.17$ FTE

Fiscal year appointee to serve 50%

for 1 semester $.50 \times .50 = 0.25$ 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.

610-9 **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

Director

Associate Director

Academic Assistant to the Chancellor/Vice Chancellor

Faculty Assistant to the Chancellor, Vice Chancellor or Dean

Librarian-Manager/Supervisor

Interim or Acting appointees in the titles listed above

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
- 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.

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.

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-twelfth¹ 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).

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.

663-0 **Policy**

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

663-10 **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.

663-14 **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.¹ 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.

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 expenses¹ 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.

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

666-8 **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.

666-16 **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.

666-18 **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.

667-0 **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.

667-16 **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.

667-18 **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-twelfth¹ 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.