

Gina Anderson

From: UC Senate Supervisors of Academic Council <UCSUPS-L@LISTSERV.UCOP.EDU> on behalf of Martha Winnacker <Martha.Winnacker@UCOP.EDU>
Sent: Thursday, September 27, 2012 2:39 PM
To: UCSUPS-L@LISTSERV.UCOP.EDU
Attachments: NegotiatedSalaryPlan_Pilot_Packet4Review.pdf

CHAIRS OF ACADEMIC SENATE DIVISIONS & COMMITTEES

Dear Committee and Division Chairs:

On behalf of Academic Council chair Bob Powell, I am forwarding for your review a proposed pilot for a Negotiated Salary Plan to be offered to eligible faculty on the general campuses. The proposed pilot will be made available only at Irvine, Los Angeles, and San Diego for a four-year evaluation period following its inception. A decision whether to extend it to other locations is not anticipated prior to the end of that time. Nonetheless, the proposed pilot has systemwide implications, and a systemwide review is necessary. The intent is to implement the proposed plan on July 1, 2013. To meet that deadline, the Provost requests that comments be submitted to her by December 1. This will require them to be in my office by November 16 in order for Council to discuss them at its meeting on November 19. I understand that this timeline is very short, and it may not be possible for all of your divisions and committees to meet it. Please let me know if you need a flexible arrangement.

Sincerely,
Martha

Martha Kendall Winnacker, J.D.
Executive Director, Systemwide Academic Senate
University of California Office of the President
1111 Franklin Street 12th floor
Oakland, CA 94607
Voice: (510) 987-9458
Email: martha.winnacker@ucop.edu



OFFICE OF THE PROVOST AND EXECUTIVE VICE PRESIDENT --
ACADEMIC AFFAIRS

OFFICE OF THE PRESIDENT
1111 Franklin Street, 12th Floor
Oakland, California 94607-5200

June 25, 2012

ACADEMIC COUNCIL CHAIR ANDERSON
EXECUTIVE VICE CHANCELLORS

Re: Report from Taskforce on a negotiated salary plan for the general campus

Dear Colleagues:

Attached is the report from the Taskforce on a negotiated salary plan for the general campus. This joint Senate-Administration Taskforce has forwarded a set of recommendations, suggesting further review by the COVC and the Academic Council before final approval. They recommend that all review needs to be completed no later than December 1, 2012 so that implementation can begin on July 1, 2013. To assist the new Provost in her review of the plan, I am asking that any responses reach her even earlier than this December date, since campus templates can only be finalized after the plan is accepted.

Please contact Vice Provost Susan Carlson at (510) 987-9479 or susan.carlson@ucop.edu if you have any questions about the recommendations.

Sincerely,

A handwritten signature in black ink, appearing to read "Lawrence H. Pitts".

Lawrence H. Pitts
Provost and Executive Vice President
Academic Affairs

Attachments

cc: Provost Designate Dorr
Academic Council Vice Chair Powell
Vice Provost Carlson
Executive Director Tanaka
Executive Director Winnacker
Interim Chief of Staff Greenspan

UNIVERSITY OF CALIFORNIA

BERKELEY • DAVIS • IRVINE • LOS ANGELES • MERCED • RIVERSIDE • SAN DIEGO • SAN FRANCISCO



SANTA BARBARA • SANTA CRUZ

OFFICE OF THE PROVOST AND EXECUTIVE VICE PRESIDENT –
ACADEMIC AFFAIRS

OFFICE OF THE PRESIDENT
1111 Franklin Street, 12th Floor
Oakland, California 94607-5200

June 15, 2012

To: Executive Vice President and Provost Lawrence Pitts

From: Susan Carlson, Vice Provost for Academic Personnel (UCOP) (convener)
Elizabeth Deakin, UCPB representative (UCB)
Harry Green, UCAP representative (UCR)
Dan Hare, UCFW representative (UCR)
Kristi Larsen, Assistant Vice Chancellor (UCSD)
Gene Lucas, Executive Vice President and Provost (UCSB)
Bob Powell, Vice Chair, Academic Senate (UCD)
Victoria Sork, Dean of Life Sciences (UCLA)
Scott Waugh, Executive Vice Chancellor and Provost (UCLA)

Susan Carlson
for the Taskforce

Subject: Report from Taskforce on a negotiated salary plan for the general campus

In February 2012, you convened a Taskforce on a faculty negotiated salary plan for the general campus. You took this action after systemwide review of proposed APM – 668, a review which generated a mixed response to the possibility of a negotiated salary program for the general campus.

The Taskforce charge was as follows:

To explore and recommend possible paths forward in consideration of a negotiated salary plan in the light of the serious shortfall in UC salary competitiveness and the concerns about the proposed APM – 668 raised by the Academic Council. The Taskforce may explore possible mechanisms for quantifying the risks and benefits in such a plan. The Taskforce may define parameters of such a salary plan, i.e. should the plan be limited to specific units or disciplines or campuses? Taskforce members should confer with their constituencies during plan development as may be appropriate. The Taskforce will meet in person once and by phone at least twice per month until its final report is complete. Final report due to Provost by June 15, 2012.

The Taskforce met by teleconference five times (February 28, March 14, April 2, and 26, and June 4) and in person on May 14 in Oakland.

Recommendation

We are recommending adoption of a “General Campus Negotiated Salary Trial Program” as outlined in the attached document. We have come to consensus that a four-year Trial Program on three campuses meets a pressing recruitment and retention need while putting in place data collection to allow for a full assessment of the program during its third year. We recommend the Trial Program take effect on July 1, 2013. In order for this to occur, final review, endorsement and approval needs to occur no later than December 1, 2012 in order to give campuses enough time to plan, train personnel, and put in place reporting metrics.

Background

The Taskforce began its work with a review of nearly two decades of effort to put a negotiated salary policy in place on the general campus. Taskforce members compiled a matrix of key issues that had come up in the systemwide review of APM – 668 and matched concerns with currently available evidence (or lack of evidence) to address the concerns and proposed evidence to collect in a Trial. With the help of campus partners, staff in Academic Personnel collected available data on cognate salary processes at UC. Most useful were data on the following: HSCP (particularly faculty in the basic sciences and those general campus faculty on split appointments in HSCP), UCR Division of Biomedical Sciences salary program (2007-2011), UCLA Public Health salary processes, and faculty drawing summer salary. The Taskforce collected and reviewed a large body of materials, and these can be made available to aid you in your review of the Trial Program. Minutes for the meetings are also available.

Taskforce discussion revealed a range of opinion about the advisability of a Trial Program. We believe open discussion led to development of Trial Program details that will allow the University to address a particular set of salary challenges while collecting data on the Trial Program’s effectiveness.

Next Steps

The COVC has endorsed instituting a General Campus Negotiated Salary Trial Program, although they should be provided these final documents for review and final endorsement. Senate members of the Taskforce have asked that the Academic Council review and comment on this Trial Program before a final decision is made.

In addition to the “Trial Program” document that is attached, we have also included a template for campus-level Implementation Procedures. If a Trial Program goes forward, each of the participating campuses would use this template to develop campus-based practices; these would be developed in partnership between faculty and administration. While each campus will need to design details of implementation that align with current campus practices, our recommendation is that departures from the Implementation Procedures template would be reviewed and endorsed by the local Senate and EVC and approved by the systemwide Provost, who would consult with the systemwide Senate Chair. Program consistency across campuses is essential to ensure that

the collected data are useful in assessing the program. This assessment process is core to the Taskforce recommendations.

Members of the Taskforce would be pleased to discuss these recommendations with you.

enc: General Campus Negotiated Salary Trial Program
DRAFT Implementation Procedures for Trial Negotiated Salary Program

General Campus Negotiated Salary Trial Program

June 15, 2012

Since at least 1995, UC faculty and administrators have been working to design a negotiated salary plan for faculty on the general campus. Given the concerns about proposed APM – 668 (“Negotiated Salary Program”), a Taskforce of campus administrators and faculty met in the spring of 2012 to design a Trial Program to test the effectiveness of the concept on a few UC campuses. The Trial outlined below will respond to an immediate recruitment and retention need on three campuses (UC San Diego, UCLA, and UC Irvine) and will allow the University to collect valuable data on the use and effectiveness of the program. Subsequently and with the data generated and collected through the Trial, parties can have a more informed discussion of the need for a systemwide policy. This Trial would be operational on July 1, 2013.

A. Program Components

Overview:	The four-year Negotiated Salary Trial Program (Trial) will allow up to three UC campuses to test a negotiated salary process for general campus faculty. Eligible faculty will be able to voluntarily contribute external fund sources toward their total salary, with the negotiated salary amount funded through external sources. The amount of negotiated salary will have a cap of 30% of the base salary (academic or fiscal, including off-scale); and the Dean or designee will have responsibility for managing funding of the negotiated salary program. Merit review will continue according to campus policy, and each participating campus will determine the appropriate role for its Committee on Academic Personnel (CAP) or equivalent committee.
Scope:	Administrators and Divisional Senates on three campuses (UCI, UCLA, and UCSD) will consult on potential participation. Once a Trial Program has been approved, the EVC on each campus, with Senate input, will coordinate with divisions/schools/departments that will take part.
Eligibility:	Ladder-rank and in-residence faculty who have advanced in rank or step in their last academic review (or equivalent satisfactory review) are eligible, provided the faculty member’s campus and division/school/department has opted to participate. HSCP members and full-time deans and faculty administrators (as defined in APM – 240 & 246) are not eligible.
Faculty responsibilities:	Participating faculty are expected to meet all teaching, research and service obligations and to be in compliance with all applicable University policies, procedures, and training requirements. The campus will ensure that policies about the buy-out of teaching are maintained.

Fund management: Only external funds will be used to support this program. “External funds” refers to any non-state-appropriated funds, such as (but not limited to) endowment or gift income, professional degree fees, self-supporting degree fees, and contract and grant support. The Dean or his/her designee will have responsibility for managing program funds, reviewing the availability of F&A, and for covering any unforeseen shortfalls. General Funds cannot be substituted for external funds in support of the program.

Salary: The total negotiated salary will be comprised of the salary covered under the University of California Retirement Plan (UCRP) (scale base plus off-scale components) and a negotiated salary component.¹ Negotiations will be conducted annually to determine an individual’s total negotiated salary for the following year. The total negotiated salary must be effective for one full year, corresponding with the University fiscal cycle of July 1 – June 30 and may not be changed during that year. The faculty member’s salary (scale plus off-scale) will not be permanently affected (neither increased nor decreased) as a result of participating in this program.

Process: As outlined in the Implementation Procedures, eligible faculty will work with the department chair and department business officer to develop a proposal for a negotiated salary, with proposals approved by the dean.

Reporting/Review: At the end of each fiscal year, the systemwide Provost will gather (from each EVC whose campus is participating) data on the program, compile it, and share with the COVC and the Academic Senate. A comprehensive review will be undertaken during year three. Trend data will be provided in year two and after. Details of the report elements are listed below in section B. An interim report on participation will be submitted as soon as possible after the Trial begins on July 1, 2013.

Implementation: This document will serve as the Program Policy document with all items outlined here to be constant among all participating campuses. The systemwide Provost will also develop “Implementation Procedures for a Trial Negotiated Salary Program” with details about the procedural details of running the program on campus. Each campus will adapt this template to its own approval and review structures. Departures from this Program document and the “Implementation Procedures” must be approved by the systemwide Provost with input from the Chair of the Senate.

¹ Faculty will remain on pre-existing appointments (either academic or fiscal); those on academic year appointments remain eligible for summer ninths which will continue to be processed under pre-existing guidelines.

Compliance: When Federal projects are involved, the program must be compliant with Office of Management and Budget (OMB) Circular A-21. Participating faculty retain their obligation to abide by University policy including Conflict of Interest, Conflict of Commitment, the Faculty Code of Conduct, and the policy on the requirement to submit proposals and receive awards for grants and contracts through the University.

Duration and termination: The program will run for four years, beginning July 1, 2013, with a full review during the third year. At that time, the Provost and Academic Senate will determine the advisability of adding policy language to the APM, continuing the Trial, or terminating the Trial. The systemwide Provost may suspend the Trial effective June 30 of any year should the program be deemed to put the University at risk; an individual campus EVC may suspend the campus participation effective June 30 of any year.

B. Metrics, Reporting, and Assessment

An interim report on participation will be submitted as soon as possible after the Trial begins on July 1, 2013, including prospective information provided in the faculty applications for 2013-14. In addition, annually at the end of the fiscal year, the Office of the President will collect information on the operation of the program from each participating campus. The goal of the data collection will be to identify any positive or negative impacts of the Trial Program; i.e., was faculty retention positively/negatively impacted? was teaching positively/negatively impacted? was graduate student and postdoc support adequate? etc. The systemwide Provost will distribute a combined report to COVC and the Academic Council for review and feedback. The following information will be collected:

Funding

- Information on external funding utilized in connection with Trial: track funding by type (endowment funds, contracts and grants [by agency], gifts, fees, etc.).
- Development and use of the program funds.

Demographic information on faculty, teaching, and research support in participating units

- Collection of information on all faculty in participating departments : a) department and school or division, rank and step, gender, race/ethnicity, b) 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.
- Data on graduate student and post-doc support by department and individual (data both before and during Trial period).

Surveys

Faculty and administrators with expertise in survey design and administration will develop surveys for faculty and administrators involved to assess effectiveness of the program on Trial campuses. The surveys will allow for assessments of conflicts of interest and commitment as well as morale. They will be used to ascertain the extent to which this program has successfully helped with hiring and retention and has not been detrimental.

In addition, each annual report by the campus EVC will include an administrative assessment of relevant issues, including a review of the personnel process at various stages: CAP, department chairs, and deans.

A comprehensive three-year review will assess whether the Trial Program has helped UC meet University goals effectively. After the three-year reports are reviewed by the Academic Council and the COVC, the systemwide Provost will recommend to the President whether the Trial Program should be 1) reviewed for inclusion in the APM, 2) maintained for an additional trial period, perhaps on additional campuses, or 3) terminated.

DRAFT Implementation Procedures for a Trial Negotiated Salary Program
June 15, 2012

[This template will be used for any campus participating in the Trial. Revisions to the template at the campus level will be reviewed by the Divisional Senate, approved by the EVC, and forwarded to the systemwide Provost for final approval.]

The “Negotiated Salary Trial Program” (hereafter referred to as “Trial”) is outlined in a Program Document approved by the Provost, after consultation with the Faculty Senate in fall 2012; the Program Document will be appended to each Campus Implementation Procedures document.

All General Campus Academic Divisions (College A, School B, School C, etc.) will have the option to participate in the Trial program. Deans will inform the EVC on or before March 1 which departments will participate in the Trial.

For departments participating in the Trial, all eligible members of the department faculty may participate in the negotiated salary program. All members would receive a copy of the implementation procedures and any other related documents (i.e. Trial Program document).

Proposal Submission Process

For departments who are participating in the Trial:

- Eligible faculty members as provided for in the “General Campus Negotiated Salary Trial Program” (Program document) may participate in the negotiation process.
- Faculty members must have the allowable and appropriate funding resources available to support the total negotiated salary.

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

Interested and eligible faculty shall submit a Trial Plan Proposal Form for the following year. A common proposal form will allow for a consistent collection of data on the Trial (see “Metrics, Reporting, and Assessment” section of the Program Document).

Negotiations are for one fiscal year effective July 1 and ending on June 30. Retroactive participation is not permitted.

Participation must be renegotiated each year. Renewals are not automatic. The systemwide Provost may suspend the Trial Program on June 30 of any year; an individual campus EVC may suspend the campus participation effective June 30 of any year.

Eligibility and Faculty Responsibilities

Faculty eligibility and responsibilities are outlined in the Program document, and include the following:

- Advancement in rank or step in last academic review (or equivalent satisfactory review)
- Fulfillment of faculty member’s approved teaching load
- University service commensurate with rank and step
- All research contracts and grants in good standing, (e.g. no outstanding agency reports or accounts in deficit)

DRAFT Implementation Procedures for a Trial Negotiated Salary Program
June 15, 2012

- Research support obligations fulfilled, including current students, incoming students, tuition, benefits, research support, post-docs, etc. Faculty have a responsibility to support such costs.
- Compliance with relevant reporting and training requirements.

Evaluation of Proposals

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

Once the funding has been verified by the Fund Manager/Department Business Officer, the participating faculty member should submit the Proposal Form to her/his department Chair no later than April 1.

The Department Chair and department business office will review the proposal to ensure that:

- The requestor has met or will meet all teaching, research and service obligations; and is in compliance with all applicable University policies, procedures and training requirements
- The amount requested is consistent with these implementation procedures
- Allowable and appropriate resources are available to support the proposal including benefits costs and (if applicable) reserve funds requirement.

The Department Chair will review the proposals and forward endorsed proposals to the Dean no later than April 15. The Dean will review proposals and will forward all endorsed proposals to the EVC on or before May 1.

Each participating campus will review appropriate participation for CAP, so that the review of negotiated salary proposals is in line with other responsibilities of the CAP (or equivalent committee) for that particular campus.

Under Option A, The EVC will forward endorsed proposals to the Committee on Academic Personnel (CAP). CAP will review the proposals in the same manner it currently reviews salary and/or retention recommendations. The EVC will review and inform the dean of approved proposals no later than June 1.

Under Option B, the EVC will review and inform the dean of approved proposals no later than June 1. CAP will receive a report of the actions.

If a proposal is approved by the Chair, Dean and EVC, a salary confirmation letter will be sent to the faculty member confirming the faculty member's total salary for the coming fiscal year. Notification of approved participation will be sent to the faculty member, Chair, MSO, and AP Office.

If the Chair does not endorse and forward a faculty member's proposal, the Chair should meet with the faculty member and if an agreeable change to the proposal is reached, any modification should be documented and the proposal forwarded as outlined above.

DRAFT Implementation Procedures for a Trial Negotiated Salary Program
June 15, 2012

If the Chair does not endorse because a faculty member does not have sufficient funding, the Chair will inform the Dean and the Dean will review. If the Dean concurs with the chair, s/he will communicate the finding to the faculty member and provide the faculty member a summary of review findings.

If the proposal is not endorsed by the Chair because the faculty member does not meet the minimum eligibility criteria, the Chair will inform the Dean and the Dean will review. If the Dean concurs with the chair, s/he will forward the proposal, the chair's assessment and the Dean's assessment to the EVC. These eligibility cases will be reviewed by CAP, who will provide a recommendation to the EVC. The EVC will issue a final resolution within 7 days of CAP review.

Approval Process

Action	Authority	Initial Response	Next Step/Comments
Funding Authorization	Dept business officer	30 days	Resolve any issues with faculty member then forward to chair
Salary Negotiation	Chair	30 days	Negotiate with faculty member and forward endorsement to Dean
Dean Review	Dean	14 days	Review proposal and forward endorsement to EVC
CAP Review <i>Option A only</i>	CAP		
EVC Endorsement	EVC	14 days	Endorse
Eligibility Appeals	EVC	7 days of CAP review	Review case and issue final resolution

Compensation Components

Negotiations between the faculty member and Department Chair will be conducted annually to determine the total UC salary for the year. Total compensation will be established as follows:

Scale-Based Salary

Participating faculty will receive their scale-based salary in addition to an optional negotiated component.¹ The scale-based salary refers to an individual's regular scale salary rate plus any off-scale as approved at the time of hire or as a result of a retention offer or regular academic review. The scale-based salary (scale and off-scale) is considered covered compensation under the University of California Retirement Plan (UCRP) up to the amount permissible by Internal Revenue Code provisions and in accordance with UCRP policy and provisions.

Negotiated Salary Component

A negotiated salary component beyond scale-based salary may be negotiated annually and has a cap of 30% of the scale based salary.

Participation Effective Dates

¹ This Program does not change the faculty member's basic appointment base: academic or fiscal. Those on academic year appointments remain eligible for summer ninths which will continue to be processed under pre-existing guidelines.

DRAFT Implementation Procedures for a Trial Negotiated Salary Program
June 15, 2012

The total UC salary rate will be effective July 1 through June 30. Newly hired faculty with mid-year start dates may participate from the appointment begin date through June 30. Increases negotiated as a result of a formal retention will be effective on July 1 of the next year. Early withdrawal from the program is allowed only upon separation from the University or as a result of an official disciplinary action (as described in APM 015 and 016 and Senate Bylaw 230).

Salary Attributes

The following chart defines the normal funding source for each salary component and whether the salary component is considered covered compensation for UCRP:

Salary Component	Fund Source	Covered Comp?
Scale-Based Rate (rank/step + off-scale, if applicable)	State general funds	Yes
Negotiated Salary Component	External funds	No
Summer Salary	Varies	Not covered comp under UCRP but special Defined Contribution benefit applies (matching 3.5% contributions from employee and employer)
Administrative Stipend (if applicable)	Varies	Yes

Fund sources may come from any combination of external funding sources as defined in the Trial Program document.

Funding must be awarded and in hand prior to June 30 of the current fiscal year to be considered for that year's negotiation. The fund source must cover the entire year of the proposal. There are no exceptions. Funds awarded after the salary rate for the year is established may be considered eligible compensation for the following fiscal year.

Effort for salaries charged to sponsored projects funded by federal sources must be accurately and appropriately calculated and certified.

The total UC salary--scale-based salary plus negotiated component--may not be changed for any reason, including but not limited to: mid-year salary scale adjustments (e.g. general range/COLA), retroactive merit increases, or the receipt of additional contract and grant funds. If a faculty member's salary is raised effective October 1 (or any other date other than July 1) due to a general range/COLA, the negotiated salary component will be adjusted downward while the covered compensation goes up so that the total UC salary remains unchanged for the fiscal year.

Other Additional Compensation

Additional compensation programs for faculty earning summer ninths remain intact. Faculty may earn up to three-ninths additional summer compensation for research, teaching, and/or administrative service. Summer ninths shall be paid at the total UC salary rate (scale-based plus the negotiated salary component) according to standard summer salary policies. Faculty will maximize summer ninth

DRAFT Implementation Procedures for a Trial Negotiated Salary Program
June 15, 2012

opportunities before utilizing this Program. Any portion of a ninth paid for service in June shall be based upon the individual's salary in effect on June 30.

If summer salary compensation is based on the academic year salary, Summer Session teaching compensation will be based upon the total UC salary rate (scale-based plus the negotiated salary component) in effect on June 30 of the calendar year in which the Summer Session begins.

All applicable Federal policies still apply. For example, a maximum of 2/9ths summer salary or the equivalent amount of academic year salary may be charged to NSF grants. Agency (e.g., NIH) salary caps must be observed and state funds may not be used to pay the cap gap.

Administrative Compensation

HSCP members, full-time Deans, and full-time faculty administrators (see APM – 240 and 246 for definitions) are not eligible for this program.

Stipends issued for official administrative roles may not be included in the negotiated salary component and must be recorded as separate payments. Classification of official administrative roles will be determined in accordance with campus practice.

Leaves of Absence

While leaves may not be common for Trial participants, sabbatical leave and other leaves with pay will be granted at the total UC salary rate in effect during the period of the leave. State funds may be used only for the portion of a sabbatical leave related to a faculty member's scale-based salary. Plans for leave will be proposed to the department chair according to current procedures.

Medical leave will be granted at the total UC salary rate through June 30 of the year of the leave (see APM – 715). If external fund restrictions preclude payment of medical leave, the department must provide appropriate unrestricted funds to ensure full payment of the total negotiated salary (the negotiated component cannot be paid through state funds). The University is under no obligation to continue the negotiated salary component if the medical leave continues into the next salary negotiation cycle (7/1 - 6/30).

Intercampus Transfers

Temporary intercampus appointments, including Faculty Consultant payments, will be based on the total UC salary rate in effect during the temporary appointment. For permanent intercampus transfers, APM – 510 applies. The negotiated salary component may not be a factor in determining a competing UC offer (see Appendix A in APM – 510). If the new campus is participating in the Trial program, the faculty member must negotiate a new proposal with his/her new campus.

Overload Teaching

If any portion of the negotiated salary component 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.

Financial Responsibility

The Dean or his/her designee is responsible for managing funding of the negotiated salary program and will cover a faculty member's total UC salary for the entire fiscal year period (7/1 to 6/30). The Dean may establish a sufficient reserve fund to serve this purpose.

DRAFT Implementation Procedures for a Trial Negotiated Salary Program
June 15, 2012

Funding obligations for the total UC salary including negotiated component—as well as other research responsibilities such as reserve fund requirement, NIH salary cap gap, graduate student support, salary threshold levels, research equipment, benefits, salary raises, etc.--must be met and therefore this must be determined during the negotiation process.

Where applicable, the reserve fund will be built via the accumulation of faculty released base-salary by supporting a portion of the base on non-state sources. A faculty member participating in the Trial is required to release base-salary equal to a percentage (to be determined by the campus) of the negotiated component. If a faculty member loses funding during the annual negotiated year period, the department must assure the faculty member receives his/her total negotiated UC salary for the year.

The reserve 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. Use of any reserve fund surplus will be reviewed by faculty in the affected unit and approved by the Dean and the EVC.

It is expected that Deans will discuss with the faculty (a Faculty Executive Committee, for example) the usage of surplus funds. Additional input or practices may be developed by faculty in the decanal unit.

Reserve account accumulations and expenditures are to be reported annually to the EVC, including what faculty consultation occurred regarding the use of the funds.

Reporting

The EVC is responsible for reporting on campus participation to the Systemwide Provost annually.

Notification, Documentation and Implementation

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

Department Responsibilities

- Forward the EVC's the annual call to the departmental faculty
- Document the funding authorization process used for all proposals
- Document the methodology used to determine the negotiated salary component in each case
- Issue an annual salary confirmation letter to the faculty member
- Enter the negotiated salary in the payroll system
- Perform a post-audit of the salary implementation in payroll
- Provide annual documentation of teaching and service activities and extramural expenditures for graduate students for all participating faculty. Explain changes in student support levels.

Dean's Responsibilities

- Notify the EVC by March 1 as to which departments will participate
- Ensure all participation criteria have been met and maintain documentation of reviews

DRAFT Implementation Procedures for a Trial Negotiated Salary Program
June 15, 2012

- Forward to EVC information on proposed faculty participation by May 1
- Ensure payroll action matches the approved negotiated salary amounts
- Report funding summary to the EVC.

EVC Responsibilities

- Issue annual call to participating units
- Submit proposals to CAP (Option A) or report negotiated salaries to CAP (Option B)
- Review faculty appeals of negative findings by the Dean and Department Chair
- Maintain appeal resolution documentation
- Notify the faculty member, Department Chair, and Dean of approved plans
- Maintain open communications with Academic Senate on implementation issues and concerns
- Serve as Office of Record for approved proposals
- Forward the Campus Implementation Procedure to the UC Provost for approval
- Provide annual report to the divisional Academic Senate by October 1
- Prepare data for Provost annually as required by Office of the President.

CAP Responsibilities

- Review proposals prior to approval. Provide input to EVC (Option A). Or, review list of negotiated salaries (Option B).
- Review faculty appeals of negative findings by the Dean and Department Chair where eligibility is at issue
- Review post audit annual reports on participation; provide feedback to EVC if there are issues or concerns.

Academic Senate Council Responsibilities (both divisional and systemwide)

- Receive annual report on Trial participation and metrics. Forward to appropriate Divisional and Systemwide committees for analysis and input.
- Respond to third-year review of Trial program and its future status.