

July 21, 2010

Deans
Associate Deans
Assistant Deans

SUBJECT: Streamlining – Phase I

Thank you for your suggestions and responses to our streamlining efforts. We are still working on the items that involve the merit/promotion process, but in the meantime, I am eliminating “one administrative level of approval” by delegating the authority for the following transactions to the Deans on a three year trial basis, effective August 1, 2010. During this trial period, we will evaluate the effectiveness of this redelegation via audits to assess compliance with policy and other issues that may arise.

- 1. ONE TIME PAYMENTS:** These payments may be approved by the Dean up to a maximum of \$1,000 per event. Exceptions to pay over this amount (the maximum being \$2,000 per event) will require approval by the Vice Provost—Academic Personnel.

As a reminder, full time academic employees are generally not permitted to be paid honoraria from their home campus for any activities that are related to their University employment. (It is expected that these appointees will serve on committees and give lectures in their field of expertise at their home campus.) When a department is considering a one-time payment to an academic employee, it should take into consideration the following:

- a. The nature of the activity
- b. The employee’s role in that activity
- c. If the activity is unrelated to the person’s normal job responsibilities as an academic employee at Davis.

If the answer to #c is ‘yes’, then an honorarium may be appropriate, and the procedures in the attached document on how to process one-time payments should be followed.

- 2. INTERLOCATION (INCLUDING MULTI-CAMPUS) APPOINTMENTS:** These involve a UC Davis employee taking a temporary or part-time position at another UC campus or UC-affiliated National Lab or vice versa (i.e., an employee at another UC campus/National lab coming to work at UC Davis). The duration of this appointment can be for no more than a year at a time. If the appointment extends beyond a year, a new form, with justification, needs to be completed.

Procedures in the attached document should be followed for processing these payments.

3. SEARCH WAIVERS FOR THE HEALTH SCIENCES CLINICAL PROFESSOR

SERIES: Those proposed for appointment in the HSCP series must have a “primary emphasis on direct patient care services and clinical teaching”. Copies of all approved waivers should be sent to the appropriate analyst in the Vice Provost—Academic Personnel office. Approvals for search waivers shall be consistent with policy (APM-278 and UCD-500).

4. VISITING PROFESSORS AND VISITING PROFESSIONAL RESEARCHERS

(APM-230): These appointments are for no more than a two year period and must be consistent with APM 230. Exceptions to APM 230 must be approved by the Vice Provost—Academic Personnel. The Dean’s Office will be the office of record for all actions in these two series.

REMINDER: For merit, promotion, and appointment dossiers, our office will no longer review the data in the dossier except for the information on the Recommended Action form and Action Tracking. Thus, the responsibility for ensuring the accuracy/integrity of the information in the personnel dossiers will remain with the Deans.

We will provide you with additional process streamlining related to merits and promotions (Phase II) as soon as we have completed our discussions with the Academic Senate and Academic Federation. Additionally, our office is working with a small group of campus members from Departments, Dean’s offices, and Accounting on the Removals process. We hope to have this change also included in Phase II. As we continue through this process, we would appreciate your feedback on the streamlining that has been implemented and suggestions for future streamlining.

Sincerely,

Barbara A. Horwitz
Vice Provost—Academic Personnel

/rbk

cc. Chancellor Linda P.B. Katehi
Provost Enrique Lavernia

REVIEW AND APPROVAL OF ONE TIME PAYMENTS

The dean has been delegated authority to approve one time payments up to the maximum of \$1,000 per event. Exceptions to pay over this amount up to the \$2,000 maximum must be approved by the Vice Provost—Academic Personnel. State funds may not be used to pay honoraria.

Full time academic employees are generally not permitted to be paid honoraria from their home campus for any activities which are related to their University employment. It is expected that academic appointees will serve on committees and give lectures in their field of expertise at their home campus, as part of their academic responsibilities.

When a department is considering a one-time payment to an academic employee, it should take into consideration the following:

1. What is the nature of the activity
2. What is the employee's role in that activity
3. Is this activity unrelated to the person's normal job responsibilities as an academic employee at Davis?

If the answer to #3 is 'yes', then honoraria may be appropriate.

PROCESS

The department (including the department chairs approval) must submit a request for approval, in advance of the activity, to the Dean for review and approval. This request must include:

- A description of the activity
- An explanation of why the activity is unrelated to the employee's academic role
- The payment amount
- The employee's regular payroll title(s) and percentage of appointment(s)

Departments should not complete a transaction in OPTRS until they have received approval from the Dean. Systemwide policy guidelines can be found in APM 660 and APM 666 (<http://manuals.ucdavis.edu/apm/apm-toc.htm>). The hard copy forms are located in the accounting manual UPAY 644C-T (<http://www.ucop.edu/ucophome/policies/acctman/>)

After the Dean's Office analyst has determined the payment is allowable and the Dean has approved the payment:

- Make a copy for the employees personnel file
- Send the original to the Payroll office for processing.

INTERCAMPUS ONE-TIME PAYMENTS

If we are the HOST campus:

- The department will send the one-time payment form to the Dean's Office for review and signature.
- The Dean's Office will make a copy for their files.
- Send the original to the HOME campus Academic Personnel Office for their final approval and to their Payroll Office for processing.

If we are the HOME campus:

- The department will send the one-time payment form to the Dean's Office for review and approval.

- The Dean's Office will make a copy for their files
- Send the original to the Payroll Office for processing

ONE-TIME PAYMENT RESOURCES

POLICIES

Additional Compensation: APM 660 & UCD 660; APM 661, 662, 663, 664, 665; APM 666 & UCD 666; APM 667.

Daily Rate Calculation: found in 664, for consulting payments.

Definitions: [APM 110-4](#), (item 15 includes definition of faculty).

Accounting Forms: found at <http://accounting.ucdavis.edu/Forms/index.cfm?opt=6>

DESCRIPTION OF SERVICE (DOS) CODES

<http://pps.ucdavis.edu/ppscodes/DOS.cfm>

Most common codes for UPAY 564-3 and 644C-T (used for intercampus one-time payments): BYA (by agreement), HON (honoraria), CNS (consulting)

Most common codes for UPAY 560-T: REG (regular salary), WOS (without salary), STP (stipend), CNS (consulting). Please consult the DOS code table for a complete list of Payroll codes.

TITLE CODES

<http://www.ucop.edu/acadadv/acadpers/title.html>

PROCEDURE

- The host campus completes all the information on this form. The host department will need to obtain the employee's information from the employee's home campus department, including the host department chair's approval.
- The original form is submitted to the host or home Dean's office for signature.
- If the information is complete and the payment is allowable under policy, the form is approved by the Dean.
- Once the Dean approves, keep a copy for the employee's personnel file and forward the original form to the payroll division of the UC Davis Accounting and Financial Services who sends it to the other campus, where it is again routed or processed.
- Note: If it is a paid multi-location appointment and we are the host, UCD Payroll Division will receive a copy of the final form since the home campus will be sending UCD invoices for the employee's compensation paid through Payroll on

their home campus. If this is an unpaid appointment, UCD Payroll will not receive any confirmation from the sister campus (unless there is a problem). If we are the home campus, UCD Payroll Division invoices the host campus for the required amount of pay.

UPAY 564-3 is used for one-time payments on the **home campus for a member of the home campus or a payment is processed through the OPTRS system after pre-approval from the Dean.**

Paper form

- The home department will complete the UPAY 564-3. The original is prepared by the department, signed by the Department Chair, and submitted to the Dean's Office.
- The form is routed to the Dean for approval.
- Upon approval, the Dean's Office keep a copy for the employees personnel file and returns the form to the department for data entry in OPTRS.

Email

- The home department will send a request for payment, including confirmation that the department chair is in agreement with the payment, to their Dean's Office, including the necessary information from the UPAY 564-3.
- Information required in the email: Name/ID, Home Dept, DOS code and amount of payment, Acct #, and reason for the payment.
- The Dean's Office obtains their Dean's approval and keeps this final email for record purposes. An e-mail approval is returned to the department for data entry in OPTRS.

FYI – For any of the above forms of payment, if the title code does not appear on the Academic Title Code list, then it is a payment under a staff title. The Dean does not have approval authority for staff titles for the campus or Medical Center employees. Staff titles are forwarded to Human Resources for approval.

PROCESSING INTERLOCATION OR MULTI-CAMPUS APPOINTMENTS

Inter-location or Multi-campus appointments are different from one-time payments in that a UC employee is taking a job at another campus or is coming to work for us at UCD. The duration is usually for **a quarter or more**, but usually no more than a year. If the appointment extends beyond a year a new form will need to be completed annually. Inter-location appointments are done for work on all 10 UC campuses as well as the National Labs (LLNL, LBNL, LANL, etc).

The appointment can be either an employee who is coming to UCD (or going to another UC campus) at 100%, or an employee who is splitting percent of time and job responsibilities with another UC campus.

For Senate Employees:

In this case, we are “borrowing” the expertise of a Professor who may be on leave from his home campus. The appointment is short term, and the Professor will be returning to his home location. We do not do a search or an appointment dossier for these cases. The form will outline the period of the appointment and the percent of the appointment. The faculty salary is equivalent to what he/she is being paid on the home campus.

Faculty may also be paid additional (summer) compensation from another UC campus and put on a Professional Research title, as is our normal practice, to accomplish the payment.

For Non-Senate Employees:

In this case a search (or search waiver) must be completed on the hiring campus and an appointment dossier is created by the HOST department. The normal review for the title then takes place. **Make sure all approvals are in place and the review has been completed prior to completing and submitting the Multi-location appointment form, if the person is being hired on our campus.**

UPAY 560-T is used for temporary interlocation transfers or multilocation appointments with other UC campuses.

A Multi-location appointment form is filled out by the HOST department and sent to the Deans office for approval. The Multi-location appointment form is located in the Accounting Manual – Form 560-T. After the Dean’s approval, the form is sent to Payroll (currently Theresa Schumacher on our campus), who completes the appropriate fund transfer to either reimburse the other UC,- if it’s one of their employees coming here - or debit our accounts from the other UC - if our employee is going somewhere else. The employee must be paid from only the Home UC campus payroll division for tax purposes, since only one W-2 form can be generated per employee from UC, no matter how many appointments the person holds on multiple campuses.

PROCEDURE

- The host campus completes all the information on this form. The host department will need to obtain the employee’s information from the employee’s home campus department.

- The original form is submitted to the Dean's office for approval.
- If the information is complete and the appointment has been approved under policy, the form is approved by the Dean.
- Once the Dean approves, keep a copy for the employee's personnel file and forward the original form to the payroll division of the UC Davis Accounting and Financial Services who sends it to the other campus, where it is again routed or processed.
- Note: If it is a paid multi-location appointment and we are the host, UCD Payroll Division will receive a copy of the final form since the home campus will be sending UCD invoices for the employee's compensation paid through payroll on their home campus. If this is an unpaid appointment, UCD payroll will not receive any confirmation from the sister campus (unless there is a problem). If we are the home campus, UCD Payroll Division invoices the host campus for the requirement amount of pay.