Additional Compensation Workshop

April 13, 2022
Agenda

- Outside Activities
- One-time Additional Pay and Intercampus Payments
- Release to Grant
- Summer Salary
- UCPath Procedure
- Best Practices
Activities outside UC

- APM 025, RB I-29, Conflict of Commitment and Outside Prof. Activities
- All Senate and Adjunct faculty >= 50% must report, whether compensated or uncompensated
- 39 day limit for Categories I and II during academic year
  - 1 day/week during summer when drawing summer salary through UCSB
- Categories:
  - I: Appear to be conflict; Prior approval required. Must report
  - II: Unlikely to be a conflict. Must report
  - III: No conflict. Allowed, not reported
- Not additional compensation
- Reported in OATS (Online Activity Tracking System) - check your filters!
Faculty Consultant Payments

- For occasional consulting or participation in projects that do not fall within the normal duties of the individual
- Rate is negotiated, based on daily rate + 30%
- \# of days = Negotiated amount ÷ (daily rate + 30%)
- Only faculty (Senate and Unit 18) are eligible
- Pay during summer counts towards 3/9ths summer salary max
Honorarium

- Any academic employee eligible, for:
  - Work related to University-sponsored conferences/panels
  - Occasional lectures/seminars beyond normal job responsibilities
  - Creative work unrelated to primary job responsibilities

- Restrictions:
  - May not be paid using State (19900) funds
  - Max $2500 per event (up to $5000 by exception)
  - Total HON payments may not exceed 10% of the annual base salary

- Pay during summer counts towards 3/9ths summer salary max
One-Time Additional Pay – UC Path Request

- UC Path Certification & Input Request form on AP Folio
  - User Guide available on the Cert Form landing page
  - For UCSB employees only (for Intercampus Payments - use appropriate forms OTP/MLA)

- Begin & End Dates:
  - Honorarium: reflect when work was actually performed
  - Faculty Consultant: in accordance with # of days as computed by daily rate
  - Housing Allowance: MO pay period, but include date/pay cycle pay should be disbursed

- Fund Source:
  - Ensure accurate entry & appropriate for pay type

- Comments:
  - Justification/explanation of work done
  - Any additional/background information pertinent to the request

- Observe AP’s payroll submission deadline
UCPath Certification Request Example

Timing of Payment:

- One Time Payment requests in the UCPath Cert are audited by the Policy Analyst prior to any action taken in UCPath.
- Requests submitted close to the current payroll OTP deadline will likely be paid out on the following month’s on-cycle payroll process.

### Action

- One-Time Additional Pay
- Recruitment Allowance
- Faculty Consultant
- Honoraria
- Extension or Executive Program Compensation
- Other

- Dollar Amount: 1000.00

- Start Date: 08/05/2021

- End Date: 08/07/2021

- Fund Source: 0 166021 19900 0

- Comments: Professor Danvers of FRIT will work with the History department to translate historical documents from French to English.
Other Additional Compensation during AY

▪ University Extension (PaCE) Teaching
  – During AY: counts toward 39-day limit
  – During summer: counts toward 3/9 maximum
  – Payroll information is provided by Extension and uploaded by BFS Payroll

▪ Administrative Stipends
  – Department Chairs/Unit Directors - approved annually by EVC or VCR
  – Position Funding managed by the department
  – Recurring Additional Pay input managed centrally by AP
  – Depts can verify STP information in Self Service Transaction Links>Additional Pay link
    ▪ Refer to Academic Stipends in UCPath job aid for detailed information

▪ Faculty Recruitment (aka Housing) Allowance
Intercampus Payments

- A UC employee performs work on another UC campus

- Two types of payments/appointments:
  - One-Time Payment (UPAY 664C-T), for short-term events/activities
    - e.g. one-time lectures, creative work, or occasional consultant services
  - Multi-Location Appointment (UPAY 560-T), for ongoing activity
    - e.g. teaching a class for a quarter

- Forms route through Academic Personnel office

- Fillable forms on AP website under ‘Forms’: https://ap.ucsb.edu/forms/
Where to find Intercampus Forms and Job Aids

- Forms page: https://ap.ucsb.edu/forms/
- Intercampus One-Time Payment (UPAY 644C-T)
  - Form: https://ap.ucsb.edu/forms/Intercampus.OneTime.Payment.pdf
- Multi-Campus Appointment Form (UPAY 560-T)
  - Form: https://ap.ucsb.edu/forms/multi.campus.appointment.form.pdf
  - Job Aid: https://ap.ucsb.edu/forms/multi.campus.appointment.form.job.aid.pdf
Key Information Required (both forms)

- Both forms require employee *home* appointment information, fund source information, earn code, and authorization from home and host campuses
  - Obtain Home Appt info from your counterpart at the home campus

- One-time payment form requires:
  - Job Code, Event Dates, Flat Rate $ Amount to be paid, Earn Code, Funding Information

- Multi-campus appt form requires *host* appointment section to be completed:
  - Job Code, Pay Basis, FTE, Salary Rate, Earn Code, Dates, Funding Information

- Both forms benefit from supporting documentation about the work being done
  - Include *detailed* description of work being performed, in the free-form justification section
Intercampus Payment Forms – where do they go?

**If UCSB is the HOST Campus:**

1. Obtain home campus appt info
2. Verify fund source is authorized for payment
3. Send form to UCSB AP Office for review
4. UCSB AP Office processes home campus approvals & payroll

**If UCSB is the HOME Campus:**

1. Assist host campus as needed
2. Host campus sends form to UCSB AP Office
3. UCSB AP Office consults w/home dept, approves, and returns to host campus
4. Host campus processes payroll
Extramurally Funded Research during AY

- RB VI-14
- Senate Faculty only

- **Release to grant**: grant funds used in place of a portion, or all, of the regular state funded salary for a limited amount of time
  - **Course buy-out**: a specific type of release-to-grant
  - % time corresponds to the faculty member’s teaching load reduced, and pay period corresponds to quarter being bought out

- **NOT** additional compensation!

- Contact Dean’s office for approval/proper procedure
Extramurally Funded Research– payroll matters

- **What if the release to grant comprises <= 50%?**
  - e.g. 75% on state funds; 25% on grant funds

- **Implement as fund split on main professorial position:**
  - Overall professorial FTE remains 100%
  - Funding split on this position
  - If external funds are being administered outside of the home department (where the professorial appointment resides), must coordinate with funding unit, as only the home dept has access to professorial position elements

- **Sabbatical credit continues to be accrued**
Extramurally Funded Research– payroll matters

- **What if the release to grant comprises > 50%?**
  - e.g. 40% on state funds; 60% on grant funds

- Grant-funded portion must be under corresponding Researcher title (see next slide)
  - Must reduce faculty title % time accordingly
  - Pay basis remains at 9/12

- Sabbatical credit is *not* accrued
Extramurally Funded Research– payroll matters

- Positions to be created when release to grant portion > 50%:

<table>
<thead>
<tr>
<th>Underlying Faculty Title</th>
<th>Release to Grant Title</th>
<th>General Job Code</th>
<th>B/E/E Job Code</th>
</tr>
</thead>
<tbody>
<tr>
<td>Assistant Professor / LPSOE</td>
<td>Assistant Researcher-AY</td>
<td>3223</td>
<td>1985</td>
</tr>
<tr>
<td>Associate Professor / LSOE</td>
<td>Associate Researcher-AY</td>
<td>3213</td>
<td>1983</td>
</tr>
<tr>
<td>(Full) Professor / Sr. LSOE</td>
<td>Researcher-AY</td>
<td>3203</td>
<td>1981</td>
</tr>
</tbody>
</table>
Release to Grant/Course Buyout (UC Path request)

- *Do the below only if release > 50% of appointment*
- First obtain approval from your Dean’s office
- UC Path Certification & Input Request form on AP Folio
  - “Release to Grant” section
  - Job Code: corresponding Researcher title code (previous slide)
  - Start/End dates: correspond to 9/12 pay period if course buyout
    - If not buyout: dates correspond to release dates prescribed by grant
- Recommended: funding unit initiates the request
- Be aware: this process can take time to implement
Release to Grant Example #1 (fund split)

- Professor Barnes wants release to extramural grant funds
- He does this as course buyout for Fall 2021- approved by the Dean
- Department standard teaching load = 4 courses/year, so one course corresponds to 37.5% of his salary
- For Fall quarter (7/1 - 10/31), on the Professor position:
  - 62.5% of position funded on state funds
  - 37.5% of position funded on external funds
- Return to 100% funding on state funds for Winter quarter and beyond
Release to Grant Example #2 (dual position)

- Professor Potts is a Full Professor in Mechanical Engineering who has received a DoD contract that requires her to commit at least 60% effort on the project for a set period of time
- This grant is administered through ICB
- ICB submits the UCPath Cert Form request
- For that period of time:
  - *Reduce Professorial appointment to 40%*
  - Add 9/12 Researcher appointment at 60%
- *Return Professorial appointment to 100% thereafter*
  - Also don’t forget to terminate the Researcher appointment
Form Example

- **Release To Grant**
  - **Start Date:** 05/02/2022
  - **End Date:** 07/29/2022
  - **Department for Release Position:** ICBT - Institute for Collaborative Biotec
  - **Job Code for Release Position:** 1981
  - **Percent Time / FTE of Release:** 60%
  - **Comments:** Release to grant to work on Ross DoD award
Timeline Considerations for RTG > 50%

1) AP creates Researcher position & emails position# to department

2) Department:
   a) Ensures position attributes are correct
   b) Funds position
   c) Initiates Concurrent Hire into the new Researcher position

3) AP approves the Concurrent Hire; routes to UCPC for fulfillment

4) Upon fulfillment of hire by UCPC, AP reduces Professorial appointment

6) Department follows up on pay actions, as needed:
   – Overpayment if the Faculty position FTE decrease is past the payroll deadline
   – Missed pay if the Researcher hire transaction is fulfilled past the payroll deadline

*note - coordinate over/missed pay actions with BFS to reduce impacts to employee.
Other Release to Grant Considerations

- Potential for different CBR because of different position (different rate for Professor vs “other academic” [Researcher])
- Potential for sick/vacation accrual, depending on the length and FTE of Researcher position
- Funding agencies may have limitations on ability to do salary cost transfer if RTG is processed too late
- If both home department and funding unit prefer to use dual-position method regardless of % release, this is okay, too!
  - But remember: you cannot use the fund-split method if the release > 50%, you must use the dual-position method in that case
Additional Compensation During the Summer

- General Info
- Summer Salary Scenarios
- Other Considerations
- UCPath Procedure
- Strategies and Best Practices
## Available Dates for 2022 Summer Salary

<table>
<thead>
<tr>
<th>Pay Dates</th>
<th>Service Dates</th>
<th>Max Days</th>
<th>Max % time</th>
</tr>
</thead>
<tbody>
<tr>
<td>June 1 - 30</td>
<td>June 13-30</td>
<td>14</td>
<td>0.7368</td>
</tr>
<tr>
<td>July 1 - 31</td>
<td>July 1-31</td>
<td>21</td>
<td>1.1053</td>
</tr>
<tr>
<td>Aug 1-31</td>
<td>Aug 1-31</td>
<td>23</td>
<td>1.2105</td>
</tr>
<tr>
<td>Sep 1 - 30</td>
<td>Sep 1-17</td>
<td>12</td>
<td>0.6316</td>
</tr>
</tbody>
</table>

## Job Codes for Summer 1/9ths

<table>
<thead>
<tr>
<th>Underlying Faculty Title</th>
<th>Summer Salary Title</th>
<th>General Job Code</th>
<th>B/E/E Job Code</th>
</tr>
</thead>
<tbody>
<tr>
<td>Assistant Professor / LPSOE</td>
<td>Assistant Researcher (1/9)</td>
<td>3225</td>
<td>1986</td>
</tr>
<tr>
<td>Associate Professor / LSOE</td>
<td>Associate Researcher (1/9)</td>
<td>3215</td>
<td>1984</td>
</tr>
<tr>
<td>(Full) Professor / Sr. LSOE</td>
<td>Researcher (1/9)</td>
<td>3205</td>
<td>1982</td>
</tr>
<tr>
<td>Unit 18 doing research</td>
<td>Appropriate 1/9 Researcher title as above</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Unit 18 doing teaching-related work</td>
<td><em>Corresponding 1/9 titles for:</em></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Lecturer</td>
<td></td>
<td>1632</td>
</tr>
<tr>
<td></td>
<td>Continuing Lecturer/Sr. Continuing Lect</td>
<td></td>
<td>1633/1643</td>
</tr>
</tbody>
</table>
Earn Codes for Summer Salary

- ACR - research
- ACA - Senate Awards (per award letter instructions)
- ACS/ASN - teaching (input by Summer Sessions)
- Other codes? Consult AP office
Additional Compensation for other types of employees

- Must have active employment on which to put *additional* compensation
- Unit 18 Lecturers
  - May earn summer comp if 9/12
  - If pre-six: must have approved, active appointment the following Fall (e.g. to get M’22 summer comp, must have F’22 appt in UCPath starting 7/1)
  - During the academic year: only if work falls outside normal duties (e.g. criteria for FCA), otherwise, must be paid as IWC
- WOS employees (e.g. Adjunct, Visiting) CANNOT earn summer salary
- Retiree? Simple recall at any time (no concept of “summer salary”)
- AY employees < 100%? Pro-rated amounts
Summer Salary Scenarios

- 19 days (full 1/9th)
- More than 19 days in a given month
- Less than 19 days in a given month
- Flat rate dollar amount
Summer Salary Scenarios – payroll

▪ 1/9th payment (19 days) in August:
  – Job runs 8/1 - 8/31 @ 100% time
  – Service period is 19 days, track exact dates offline

▪ More than 1/9th (21 days) in July:
  – 21 days ÷ 19 days = 1.1053
  – Can’t have a job > 100% !
  – Two separate jobs (unique position # for each one):
    ▪ Both jobs run 7/1 - 7/31
    ▪ One at 100%
    ▪ Another one at 10.53%
    ▪ (or any other combination adding up to 1.1053)
Less than 1/9th (10 days) in September:
- 10 days ÷ 19 days = 0.5263
- Job runs 9/1 - 9/30 @ 52.63% time
- Service period is 10 days, track exact dates offline

Flat rate of $5000 paid in June:
- Faculty member’s 1/9 rate is $14,000
- $5000 ÷ $14,000 = 0.3571
- Refer to 19-day chart: closest value is 0.3684 (7 days)
- Payroll: job runs 6/1 - 6/30 @ 35.71 %
- Internal/offline records: track the 7 days of effort for future audit purposes
NIH Cap Restrictions

- Currently monthly max: $16,975.00 (as of Jan 2, 2022)
- Only affects faculty who earn more than $152,775.00 ($16,975.00 x 9) annually
- Can you fill in the “gap” between their salary and the NIH cap?
  - Only with *unrestricted, non-State* funds
  - May NOT use State General Funds or other contract & grant funds
  - See APM 667 and UCOP Research and Technology Transfer Memos
Summer Research Comp + Summer Teaching

- Professor Coulson is teaching during Summer:
  - Session B term runs Aug 2 - Sep 10
  - Total payment is $8500
  - Summer Sessions tells you this work comprises 25% effort

- Restrictions:
  - $8500 counts towards the maximum 3/9ths $ amount allowed for summer
  - During 8/2 - 9/10, Prof. Coulson may only put up to 75% effort on other grants
Merits and Promotions effective July 1

- All June summer salary can be input as soon as possible, as normal
- If 7/1/22 MP action has already been finalized (or no MP action pending):
  - July-Sep summer salary can also be input as soon as possible
- If 7/1/22 MP action is currently still pending:
  - Try to wait until case is finalized before inputting July-Sep summer salary
- Summer salary already in UC Path prior to 7/1 and then merited?
  - Must manually adjust the comp rate for July/Aug/Sep summer salary
  - Potentially also FTE, e.g. for flat rate payments
UC Path Procedure

- Summer Salary transactions are managed by Departments

**Identify Position**
- Use existing positions, updating FTE if necessary via Position Control *prior to hire transactions*
- Request new positions, if needed, via the UCPath Cert form

**Fund Position**
- REG line
- ACR line(s)
- Each Distribution totals 100%

**Concurrent Hire**
- Effective Date
- End date
- Pay Freq: 9/9
- Check “End job automatically” box
- Earns Distribution ACR
- Fulfilled by UCPC
- PayPath action to change FTE/pay rate, if needed
Summer Salary Action Steps
Lists steps & provides links to all resources available for that step

Detailed resources available on the AP Website:
Resources for Department Analysts > UCPath
Position

- Review existing positions
  - Identify positions & attributes in Vacant Budgeted Positions or Data Warehouse report
  - Request new positions (AP Folio UCPath Cert) if needed

- Update position attributes via Position Control
  - Update FTE and validate/correct all other position attributes as needed
    - If position is to be used for multiple months, can only set up the 1st month via Position Control
    - Future months set up occurs via PayPath once employee record is active
    - Reminder: effective dates on Positions can only be used once - corrections need to be submitted to UCPC via a Case; Best Practice - use an earlier date for Position Control actions
      - (e.g. update a position for a 6/1/22 Hire, use 5/1/22 effective date for the position change - this allows you to make additional updates if something changes, or new corrections are identified)
  - Route to AP for approval

Funding

- Enter an REG line (blank earn code) with account string & 100% Dist.
- Add (+) ACR line(s) with account string information & 100% Dist.
  - Since summer salary is all paid out under ACR earn code, this is the fund the payment will issue from

Funding entry can be input prior to initiating the hire transaction

Exception: if fund is capped - the link to the required MCOP worksheet will not appear within the Funding Entry component until after the incumbent is hired into the position

Resource - Summer Salary Funding Entry:
Funding (not including Capped funds)

ACR line(s):
- can have more than one entry
- total Distribution of all ACR must equal 100%

“Blank” Ern Cd line is the REG entry
Capped Funds – Above the Cap
Funding Entry Instructions

▪ If compensation falls below the NIH Cap, follow the general instructions provided in previous slides & corresponding reference documents
  – Use faculty member’s ACTUAL salary, not NIH cap

▪ If compensation falls above the NIH Cap:
  – Options:
    ▪ Fill the gap between NIH cap and faculty’s actual salary
    ▪ Leave the gap as-is
  – Refer to the Job Aids (listed in next slide) for step-by-step instructions

*Remember: the Hire must be processed BEFORE funding entry - the MCOP Worksheet link will not appear in the Funding Entry screen until the employee record is active in UCPath*
# Capped Funds: Salary is above the Cap – Job Aids

<table>
<thead>
<tr>
<th>Job Aid</th>
<th>Funding Entry</th>
<th>PayPath Action</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Filling the Gap</strong></td>
<td>Enter fund information into <em>Salary Cap/MCOP Funding Worksheet</em></td>
<td>No Action</td>
</tr>
<tr>
<td><strong>Not Filling the Gap</strong></td>
<td>Enter fund information into <em>Salary Cap/MCOP Funding Worksheet</em></td>
<td>Add GAP Earn Code and % and reduce ACR % (JED)</td>
</tr>
</tbody>
</table>
Hire Template – Concurrent versus Rehire

The Concurrent Hire or Rehire template may be used, depending on the circumstance:

- **Academic Concurrent Hire** template, with Academic Concurrent Hire Reason Code:
  - Creates a new Employee Record Number
  - MUST be used when the employee DOES NOT have an existing inactive job record
  - MAY be used in lieu of the Rehire template, however, this will ADD new employee record #'s

- **Rehire Academic** template, with Concurrent Non-Dual Employment Reason Code:
  - Uses an existing Employee Record Number
  - Should be used IF the employee has an existing inactive job record in UCPath
  - Requires initiator to select the Employee Record Number to be used in the Rehire Template prior to being able to submit transaction for approval
    - Note: Last year this template generated an email prompting the employee to review benefits - per UCPC, this has been resolved and should no longer occur. If it does occur, the employee can just review current enrollments to confirm no changes occurred - if issues are identified, create a Case with UCPC.

- Departments are responsible for reviewing the employee’s Person Org Summary, understanding the implications, and determining their internal best practice.

Hire Template

1. Pay Components should match the Professorial position.

2. JED information MUST be on the Hire transaction:
   - Earnings Distribution = “By Percent”
   - Earnings Code = “ACR”
   - Percent Distribution = 100%

3. Include the Appt. End Date and End Job Automatically checkbox.
Job Data and PayPath

- Department validates attributes in Job Data- (FTE, JED, pay components, etc.)
  - If corrections are needed, department initiates PayPath action and/or UCPC Case, as needed

- Department updates Position and Job Data attributes via PayPath (or Case if needed)
  - E.g. FTE changes for future months, M&P increases, JED corrections, etc.
  - AP-Path approves: confirms data elements are input; does not validate attributes are correct

- Be aware of retroactive actions
  - If pay has been issued on the record, the retro-module:
    - *Will* pick up and pay salary increases on the next on-cycle check
    - *Will not* pick up FTE changes - department must initiate missed/over pay via BFS ServiceNow
  - Changes **must** be in Job Data before corrections to pay can be processed by BFS
  - If future dated rows exist in Job Data, retroactive changes may overwrite future data points erroneously
    - Review Job Data to determine corrective action (PayPath or Case)
    - Pay attention to timing - this may lead to over/missed pay requiring additional action
Best Practices: Summer Research Salary in UCPath

- Update position FTE via Position Control with an advanced date - leave room for corrections
- Corrections to Position data where the date is “taken” require a Case with UCPC
- Fund position (Remember: Salary Cap / MCOP Funding worksheet is not available until AFTER the incumbent is hired into the position)
- Pay attention to Payroll deadlines and timing of actions
  - Process in time for pay deadlines whenever possible
  - Identify when missed pay/over pay needs to be initiated
- Paychecks can be reviewed in advance on Pay Confirm days - refer to Payroll Calendar and be proactive when possible
Other General Strategies and Best Practices

- Consult commitment sheet for startup 1/9ths exact amounts
- Advise faculty to consult with their tax advisor if they are concerned about the withholding amounts over the summer
- AP will not validate your calculations, so be sure they are correct
- Check the “End job automatically” box!
- Coordination when multiple departments/units are involved
  - Ensure maximum values (e.g. not re-using a day, $ amount max) are not exceeded
- Post-audit job record in UCPath to fix any potential issues prior to pay
Other Resources

▪ Academic Personnel website
  – https://ap.ucsb.edu/

▪ Red Binder
  – Sections VI 10-17

▪ APM 600

▪ UCPath:
  – UCPath Cert Instructions (under Actions within the AP Folio Cert & Input Request form)
  – Summer Research Additional Compensation Toolkit
    (https://ap.ucsb.edu/resources.for.department.analysts/ucpath/)
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