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Fax Cover Sheet

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Pages: 1+5

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Human Genetics: Procedures under HSCP

Department of Human Genetics
UCLA School of Medicine
UC Health Sciences Compensation Plan Departmental Bylaws

Introduction

This document sets forth the Department of Human Genetics Implementation of compensation plan By-Laws under the UCLA School of Medicine Implementation Procedures which are in accordance with the UC Health Sciences Compensation Plan.

1. Procedures for Annual Review of Human Genetics Compensation Plan

- a. A committee, appointed by the Chair, consisting of 3 faculty members whose primary appointments are in Human Genetics will review the Bylaws and the operation of the compensation plan on a yearly basis.
- b. Any recommended changes are to be submitted to the Chair in writing.
- c. If changes to the Bylaws are recommended, a proposed new draft will be circulated to the compensation plan members of the department, and discussed. Faculty approval requires a simple majority of all votes in a secret ballot.
- d. Any changes to the Bylaws are subject to review and approval by the Dean.

2. Named Balances in the Compensation Plan Fund Account:

The compensation plan Fund Account has two components:

- a. **Department Reserve** – This is the reserve fund over which the Chair has discretion. The purposes of the reserve are to ensure that the Plan has sufficient funds to pay Plan expenses and remain solvent and to provide discretionary Chair's money for general benefit to the academic and research missions of the department. All Fund Account interest income and taxation accrue to the Department reserve.
- b. **Academic Enrichment Accounts** – These are accounts established for individual faculty members on the Plan that are funded and operated by the Department for the purpose of funding expenditures in support of research and academic activities and/or employee development. The account for each Academic Enrichment Account is maintained in the departmental administrative office and is subject to the following guidelines:

1. Academic Enrichment Accounts are funded solely from funds available for distribution under the "Z" component of the faculty's compensation. Once the available surplus total has been calculated and confirmed by the Department, the Department will determine the amount to be set aside for academic enrichment. Such funds will be deposited to a University revenue account and will remain specifically subject to forfeiture for use by the Department if required in accordance with Article VI, Section D of the UCLA School of Medicine Procedures under the UC Health Services Compensation Plan. The Department also has the authority to pay out a portion of, or the entire "Z" component to the individual faculty member.

2. Any funds in Academic Enrichment Accounts will be held to support academic, research and professional expenditures of the faculty member in connection with his/her performance of services with the Department. The Department in accordance with substantiation procedures established by the Department and University purchasing and other policies must approve all expenditures from Academic Enrichment Accounts

3. Unexpected balances in Academic Enrichment Accounts remain the property of the University when the faculty member separates from employment with the University.

4. The Department Chair may, in his/her discretion, direct that funds in an Academic Enrichment Account be used to fund the faculty member's negotiated salary if the faculty member does not generate sufficient revenue during the year to fund the total negotiated salary for the year as established during the annual salary setting process.

5. The amount or percentage of the surplus to be set aside for Academic Enrichment Accounts will be determined in the sole discretion of the Department based on its assessment of the academic, research and development needs of the faculty member. However, individual faculty may request exceptions for either less or more funds to be set aside for academic enrichment in unusual circumstances, such as when a faculty member has substantially different needs for additional research support funding relative to the other needs of the faculty in the Department.

3. Criteria for determining a compensation plan member's total negotiated salary (X and Y)

a. **Base Salary (X) Scale.** The Department of Human Genetics is a single academic programmatic unit (APU). The base salary ("X") as defined under section IIIB of the Procedures Under the UC Health Sciences Compensation Plan dated November 17, 2000 is at scale 1.2 for compensation plan members.

b. Additional compensation ("Y"). The Chair will meet with each faculty on an annual basis to negotiate and recommend to the Dean the following fiscal year's "Y". Y will be negotiated on the following principles.

1. There is reasonable likelihood that the Y can be funded by the faculty member (i.e., from contracts and grants) with no risk to the Department Reserve and that sufficient reserves remain in the individual's Academic Enrichment Account or from other sources for research and academic expenses.
2. The level of effort needed to maintain the Y will not interfere with that individual's teaching obligations.
3. The Chair will provide guidance to plan members for maintaining stable income level to avoid large changes in Y from year to year.

4. Optional incentive/bonus compensation ("Z")

a. Professional fees not eligible to be retained directly by a plan member (i.e., consulting activities, expert testimony, etc) must be paid to the compensation plan. The funds paid into the compensation plan will be directed into the two named accounts the individual plan members Academic Enrichment Account or into the Department Reserve on the basis as determined section 7. These accounts will be used as directed in sections 2a and 2b.

b. A compensation plan member may initiate consideration for incentive compensation from the Academic Enrichment Account by a letter to the Chair. The Z payment will be made either on March 1 or September 1 each year after the date of the request, if approved.

c. The criteria for determining that a recommendation will be made to the Dean that a faculty member earn the optional incentive compensation are:

1. The individual plan member was responsible for the generation of the professional fees.
2. The plan member's X and Y are already covered and there is sufficient guarantee for coverage of the following year's Y.
3. The individual is meeting departmental teaching, service, and research obligations.
4. The plan member's individual Academic Enrichment Account will contain sufficient funds for general support of that individual's research and academic program.

5. Income which may be retained by plan members

a. Certain categories of income accruing from occasional services, as described below, may be retained by Plan members. The Department Chair and/or Dean shall monitor the frequency of individual activity in these areas:

1. Payments for occasional service (other than patient care), not to exceed 21 days of such service per fiscal year, to governmental agencies, to non-profit health- or education-related organizations, to continuing medical education programs administered by the University, or to University Extension, if such service has been approved by the Dean.
2. Prizes, defined as gifts in recognition of personal achievements and not for services rendered.
3. Royalties, defined as shares or proceeds for contributions as authors or inventors, as allowed under the University's copyright and patent policies.
4. Honoraria, defined as payments by agencies outside the University for occasional lectures and similar public appearances beyond normal academic responsibilities to the University of California, and which are not in return for other services, whether given directly or indirectly.
5. University honoraria, defined as payments or occasional lectures or similar services performed on a University of California campus as permitted by Academic Personnel Policy.
6. Administrative stipends, defined as payments by the University for responsibilities related to University administration beyond normal academic responsibilities.
7. Income from a profession or activity unrelated to the training and experience, which is the individual's qualification for University appointment, as determined by the Department Chair in consultation with the Dean.

b. Although outside income meeting these guidelines does not need to be paid into the compensation plan, the activities must be reported annually to the department Chair.

c. All other outside income which is not covered by the above descriptions must be paid into the compensation plan.

6. Benefits (refer to section IV.B and IV.C of the Campus Procedures)

a. No additional benefits are to be provided by the department on additional compensation beyond the base salary (X).

b. Plan members who are eligible for sabbatical leave, leave with salary, vacation leave, parental leave, or sick leave may be granted such leave at a compensation rate above the Health Sciences Scales Base Salary rate if their funding sources are sufficient.

7. Department taxation policies

a. All money paid into the departmental compensation plan by individual members from outside consulting activities will be taxed at 10%. This 10% will be paid into the Department Reserve. The remaining 90% will be paid into the individual member's Academic Enrichment Account.

b. No tax will be applied to "salary savings" which are generated when contract and grant funds are used to offset the 19900 base (X).