

ACADEMIC RESOURCES GUIDELINES

INTRODUCTION:

The academic resource base of the UC system and UCLA resides in the permanent General Fund Sub-00 Budget. This is a distinct budget category intended to support the academic salary expense required to perform the campus Instruction and Research functions. The reputation of an academic program and its sustained growth over time is closely tied to how well the Sub-00 budget is allocated and managed. Since the academic budget is seldom as comprehensive as all funding needs, the management of the Sub-00 budget requires strategic planning and the prioritization of academic goals by each School's Deans/Provost office.

A. MAINTENANCE OF THE ACADEMIC STAFFING ROSTER AND PERMANENT BUDGET

The academic organizations will be responsible for the management of the Academic Staffing Roster and the Permanent Budget. This includes the maintenance of the permanent budget in terms of the accounting structure and budgeted amounts as well as maintenance of the permanent positions (filled and unfilled), and the reconciliation between budgeted and staffing. The organization will have responsibility for the following:

1. Permanent reallocation of the budget and corresponding FTEs within the unit, via the Academic Staffing Roster.
2. Reconciliation of the academic FTE to the control figure and budgeted resource base.
3. Assuring that all filled positions are funded at the appointment level and that unfilled positions are funded at the organization's specific base level.

B. PERMANENT ALLOCATIONS/REDUCTIONS TO THE ACADEMIC RESOURCE BUDGET

Any allocations or reductions to an organization's academic resource budget, both in terms of FTE and dollars, will be handled through the Office of Academic Planning and Budget (APB). This includes the allocation or reduction of resources from the Office of the President. Also, if an organization wants to permanently transfer FTE to another organization that must be coordinated with APB.

C. PERMANENT ALLOCATIONS FOR SPECIFIC FTE

APB will provide permanent allocations to specific FTE. Many of these allocations will be coordinated with the Academic Personnel Office.

1. Range Adjustment
 - a. Batch funding of range for filled and unfilled positions
 - b. Procedures for some individual compensation packages will differ from the batch processing; these include above-scale and off-scale.

2. Merit and Promotion Adjustments

After a specific merit or promotion has been approved by the Academic Personnel Office (APO) for an existing faculty member or other permanent academic appointment, the Dean/Provost/VC office will request funding from APB.

3. Upgrade and Off-Scale Funding

The Dean/Provost/VC office will request an upgrade or downgrade funding adjustment from APB for a specific appointment.

D. ACADEMIC TURNOVER SAVINGS

The Dean/Provost/VC office will notify APB of separations. APB will withdraw the turnover savings and the organization will retain the position at the base level.

E. TEMPORARY COMPENSATION ALLOCATIONS

APO will provide funding for temporary compensation committed by central administration, such as approved chair/vice chair summer ninths. These are compensation agreements that are Chancellorial-funded and not part of the organization's permanent budget.

F. FUNGIBILITY WITHIN SUB-00

Sub-00 funds are completely interchangeable within Sub-00 on a temporary basis. The permanent budget will show Sub-00 funds in discrete categories, such as Faculty FTE, Academic Administrative appointments, and TA provisions; however on a temporary basis each year, a school may apply the funds budgeted in one area to a different type of academic appointment or expense. Sub-00 resources may not be used to create permanent new faculty FTE, since UC policy permits such fungibility on a year-to-year, temporary basis only.

G. LEAVE SAVINGS

The full value of salary released by a leave without pay or by a partial sabbatical remains in the school. This portion of the salary is fungible within Sub -00 on a temporary basis.

H. ACADEMIC SAVINGS TARGET

Each school is assigned a Sub-00 Academic Savings Target which, at fiscal close, is applied by APB to meet the Campus Budgetary Savings Target. The amount of each school's Academic Savings Target is unique and based on the historical level of year-end Sub-00 closing balances that were previously applied to the Campus Budgetary Savings Target. Former targets for Health Science schools were amended to include these year-end closing balances.

The Academic Savings Target is assessed as a percentage of the school's total permanent General Sub-00 budget at May 31, and is recalculated annually. The recalculation reflects such adjustments as range and merit increases and academic resource augmentations or reductions that may have occurred during the year that change the permanent base. The percentages established in 1991/92 remain the factor on which the Academic Savings Target is assigned.

The negative Sub-00 appropriation in the school's unallocated 80XXXX account established for each school documents the exact amount of that year's Academic Savings Target. The School clears the negative appropriation during the fiscal year through a temporary Transfer of Funds from General Fund Sub-00 in either the 40XXXX or 43XXXX account functions. By the end of the fiscal year (e.g., 6/30), the appropriations column in the unallocated 80XXXX account should be zero.

I. THE SUB-00 BUDGET

The permanent Sub-00 Budget refers to the renewing base of academic resources available to the school each year. By this particular definition, the academic budget is synonymous with the Academic Staffing Roster and the FTE and funds reported in the Permanent Budget System. The budget derived from the Academic Roster is based upon discrete allocations for such elements as Faculty FTE, Academic Administrative FTE and Apprentice FTE.

The permanent, renewing Sub-00 budget, based on FTE control maintained by the Academic Staffing Roster, has five primary components:

1. **FACULTY FTE:** is the largest component of the permanent Sub-00 budget. Each school has a designated base level of Faculty FTE, for which the balance between filled and unfilled faculty positions may vary annually. The Academic Staffing Roster refers to Open Provisions as those provisions of the Base Faculty Allocation not filled by a ladder rank appointment. Open Provisions are funded at the school's Base Allocation Rate and provide the primary resource for funding temporary (non-ladder) appointments such as visiting faculty and lecturer.

Summer Ninths: may be created, up to a maximum of two-ninths, from available General Fund Sub-00 balances. Payment of these ninths is made from Sub-02.

2. **INSTITUTIONAL FTE:** a number of Institutional FTE may be included in a General Campus school's permanent budget and Academic Staffing Roster. These Institutional FTE are allocated for the duration of specific permanent, ladder appointments or finite-term initiatives and they revert to the Chancellor, the ethnic studies center, or the area studies center from which the FTE originated when the incumbent separates or terminates from UCLA.
3. **ACADEMIC ADMINISTRATIVE FTE:** a small component of the Sub-00 budget is reserved for Academic Administrative FTE. These are annual appointments for faculty members who relinquish all or part of their teaching responsibilities on an on-going basis in order to assume an administrative function within the school. Typical of such appointments are Deans, Associate Deans, and Academic Coordinators. While the provisions are permanently budgeted, appointments of specific individuals must be renewed annually. Another type of recurring administrative expense carried in the Sub-00 budget is the annual stipend for department Chairs and Vice Chairs. The funding level for these stipends is re-evaluated periodically. If an adjustment in level is approved by central administration, the affected units should request a funding adjustment from APB.

4. APPRENTICE FTE: Another component of the Sub-00 budget is the FTE and upgrading funds appropriated for Apprentice appointments, predominantly Teaching Assistants.
 - a. TEACHING ASSISTANTS: The appropriation for Teaching Assistants is recorded on the Sub-00 permanent budget under the 2310 Title Code at the base funding level for the provision. Funding to temporarily upgrade the base provision to the level of Teaching Associate and Teaching Fellow is also provided in the permanent budget under the 3999 Title Code.
 - b. GRADUATE STUDENT RESEARCHERS: In a few special programs, the Sub-00 budget also contains provisions for Graduate Student Researchers or other specialized apprentice appointments.
 - c. READERS: The appropriation for Readers is recorded on the Sub-00 permanent budget. Since all Sub-00 appointees must be paid on a nine- or eleven-month salary scale, and Readers are paid on an hourly basis, UC policy requires that the actual salary of Readers be paid from Sub-02. This requires that the school prepare a Transfer of Fund from Sub-00 to Sub-02 on an annual temporary basis to cover Reader expenses.

5. Other Titles on the Academic Staffing Roster

The Sub-00 budget occasionally includes funding for a select number of other academic appointments, such as Librarians, Lecturers with Security of Employment and Field Workers. These appointments and others are funded on the permanent Sub-00 budget since they are classified as Academic titles.

6. Indefinite faculty appointments on sub 00

Not all academic title codes can use indefinite distribution dates in the employee data system (EDB). Assigning an indefinite end date will generate an entry on the Staffing List. The Staffing List should only include ladder faculty appointments, permanent administrative appointments held by ladder faculty, and a few other appointments cleared for indefinite duration by special approval.

Listed below are object code categories with corresponding end date information for appointments/distributions. Each object code represents a group of title codes; please refer to the Academic Object Codes section at <http://www.payroll.ucla.edu/charts/chartfrm.htm> for a complete list.

Object code/object code for health sciences:

1010/1011- tenured ladder faculty, including Security of Employment (SOE) titles: indefinite end dates are appropriate

1020/1021- non tenured ladder faculty, including Potential SOE and Acting titles. Ex. Assistant Professors: appointments should have end dates, but use of special Description of Service (DOS) codes, as outlined below, ensures that appointments appear on the staffing list. Acting titles have unique handling; this is also described below

1030/1031- temporary faculty, e.g. Visiting titles and non-SOE Lecturers: appointments should have end dates

As mentioned above, appointments with title codes that belong to object codes 1020/1021 require appointment/distribution end dates due to the nature of the appointment. For example, an Assistant Professor appointment uses appointment/distribution end dates because the appointments are renewed every two years. To account for the Assistant Professors on the Staffing List, the Staffing List System is programmed to pick up Assistant Professor distributions that use DOS codes RGA, RSA, DAR, DRR, DRS, DAS, NAS, NRS, and DTS. An entry on the Staffing List will ensure the position is accounted for in the permanent budget.

Acting faculty titles should have end dates and a DOS code of REG. The appointment won't appear on the staffing list as a position. Instead, the department should lien a provision under the relevant Acting title code and include the incumbent's name in the description.

7. Other academic appointments

Academic title codes belonging to other object code categories (Academic Administrative, Apprentice Teaching, Apprentice Research, Professional Research, Other Academic) should use distribution end dates to prevent the appointments from appearing on the Staffing List. Exceptions include permanent administrative appointees who also have a faculty title, certain librarian titles, as well as certain non-ladder titles in the Neuropsychiatric Institute.

J. CONTROL POINTS

1. Movement of FTE and Budget between the General Campus and the Health Sciences: Special permission is required to move funds between the General Campus and the Health Sciences on a temporary, year-to-year basis. APB facilitates the Transfer of Funds, with the approval of the appropriate Chancellor's designee, and if the movement does not violate the intent of the Control Point.
2. Movement between Sub 00 and Other General Fund Subs: Sub-00 funds may be transferred, on a temporary basis, for such specific academic personnel related costs as honoraria, recruitment travel, employee death benefit payments, and academic salaries billed by outside agencies. Sub-00 funds may also be transferred on a temporary basis to cover salary expenses for Readers and certain Graduate Student Researchers who are paid on an hourly basis from General Assistance (Sub-02) budgets. APB works closely with individual schools to facilitate transfers between subs, and to maintain accountability for the overall use of the teaching and research budget.
3. Movement between Instruction (Function 40 and 43) and Research (Function 44): FTE and funds designated for instruction may not be routinely exchanged for Organized Research funds. Occasional exchanges may be approved by the Chancellor on a temporary, one-year basis.