

**University of California, San Francisco School of Medicine  
Department of Radiology and Biomedical Imaging (Radiology)  
Implementing Guidelines for the Health Sciences Compensation Plan**

## **I. INTRODUCTION**

The Health Sciences Compensation Plan (“Regents’ Plan” or “the Plan”) was approved by The Regents of the University of California in July 1999 and amended in 2012 for implementation at all University of California health sciences schools. In accordance with the Regents’ Plan, the President issued Conflict of Commitment and Outside Professional Activities of Health Sciences Compensation Plan Participants. The School of Medicine Implementing Procedures (“Implementing Procedures”) provide supplementary regulations for implementation of the Regents’ Plan at the University of California, San Francisco (UCSF) School of Medicine and were approved by the President on February 23, 2015. The Implementing Procedures are effective July 1, 2015 and supersede any and all previous Implementing Procedures as well as any previous Department or Organized Research Unit (“ORU”) Implementing Guidelines (“Implementing Guidelines”).

In adopting the School of Medicine Implementing Procedures and Department or ORU Implementing Guidelines, the faculty and administration of the School of Medicine at UCSF affirm the philosophy outlined in the Regents’ Plan. The Regents’ Plan and these Implementing Guidelines shall be used by each department/organized research unit (ORU or “unit”) to foster academic balance among the joint responsibilities of teaching, research, other creative work, professional activity, University service, and public service. Individual levels of compensation shall be established so as to maintain this academic balance and to permit the recruitment and retention of the individuals necessary for the School and the Department of Radiology and Biomedical Imaging (Radiology) to fulfill its missions at a level of excellence.

**All clinical and/or patient care activities must be provided within the University setting or as part of an approved affiliation agreement or Professional Service Agreement. All clinical income is due the Plan. In no case are faculty who are members of the Plan (“Plan Participants”) allowed to retain income from outside clinical or patient care activities. All category I and II outside professional activities must be reported annually and certain approvals are required, as detailed in Section V of these Implementing Guidelines.**

Plan Participants remain members of the Plan while on vacation and other paid leaves, including but not limited to sabbatical leave, professional development leave, extended illness leave, childbearing leave and childrearing leave, even if salary is reduced to covered compensation (X) or Base Salary, as well as while on unpaid leaves. Thus, while on any leave, Plan Participants are bound by the rules of the Plan, including, but not limited to, those rules relating to outside professional activities and income due the Plan.

In addition to these Implementing Guidelines, Plan Participants, as defined in Section IV of these Implementing Guidelines, are also subject to the requirements of other University policies, including (1) the University's Conflict of Interest code, adopted pursuant to the requirements of the Political Reform Act of 1974, which requires designated University employees to disqualify themselves from participating in University decisions in which they have a personal financial interest; and (2) the Policy on Requirements to Submit Proposals and to Receive Awards for Grants and Contracts Through the University. A Plan Participant's compensated outside activities may create an obligation for the Plan Participant to disclose a financial interest before making or participating in certain University decisions. Faculty may obtain information on the disclosure and disqualification requirements of the Political Reform Act of 1974, including the Academic Decision Regulation, from the campus Office of Legal Affairs.

## **II. REVIEW AND APPROVAL RESPONSIBILITY**

These Implementing Guidelines are developed to be consistent with the policy framework of the Regents' Plan and the School of Medicine's Implementing Procedures. Affected Plan Participants in Radiology shall be afforded the opportunity to review and comment on any proposed revisions to these Implementing Guidelines. All department/unit individual compensation plans ("department/unit guidelines") shall be reviewed by the School of Medicine Compensation Plan Advisory Committee ("Advisory Committee") and reviewed and approved by the Dean or his/her designee prior to implementation.

The Chancellor may approve individual exceptions to the provisions of the Regents' Plan to meet special teaching, research or clinical service requirements. All exception requests shall be proposed by the appropriate Department Chair ("Chair")/ORU Director ("Director") and approved by the Dean or his/her designee prior to the Chancellor's review. The School of Medicine Advisory Committee shall be provided the opportunity to review and comment on any proposed exception(s) to the School's Implementing Procedures that the Dean intends to submit to the Chancellor for approval.

### **A. Advisory Committee**

The Advisory Committee's role is to assist the Dean in resolving issues that may arise from Plan implementation. The Advisory Committee assists by assuring compliance with and resolving issues on outside professional activities, conflict of interest, and conflict of commitment. The Committee also reviews each Department and Unit Compensation Plan ("Implementing Guideline").

The Advisory Committee shall consist of six voting members, all of whom must hold faculty appointments and must be Plan Participants in Good Standing. Three members shall be appointed by the Dean and then three members shall be elected from the School's Plan membership. At least one member from each title series shall serve on the Advisory Committee at all times; the sixth member may represent any title series. The members shall be representative of the disciplines participating in the Plan. Elected committee members' terms shall be staggered in order to promote the stability of Committee membership. The terms of service will be three years; elected members may renew their term of service once.

The Advisory Committee's function shall include advising the Dean on:

- 1) Development of the School's Implementing Procedures, including the establishment of Good Standing Criteria, Academic Programmatic Unit (APU) assignments, and APU Scales. (See APM - 670-18-b for more information on APUs);
- 2) Department/Unit Guidelines, including methods for obtaining faculty input and for determining consistency with the School's Implementing Procedures;
- 3) Review of potential conflicts between a Plan Participant's commitment to generating revenue within the Plan and his/her outside professional activities, See APM - 670-19-c.
- 4) Review of Plan Participants' appeals regarding implementing and administering the Plan that are not resolved at the department or school level or are submitted to the Advisory Committee as a result of a determination of being found Not in Good Standing. Plan Participants who are Academic Senate members may pursue their grievance rights before the Privilege and Tenure Committee under Senate Bylaw 335. Plan participants who are Non-Senate faculty are entitled to a Step III hearing under the Academic Personnel Manual ("APM") - 140.

The Advisory Committee shall provide an annual summary report on its activities to Plan Participants, the Dean, and the Chancellor.

### **III. GOOD STANDING CRITERIA**

#### **A. Definition of Good Standing**

Plan Participants shall be deemed in Good Standing until they are otherwise found to be Not in Good Standing.

Plan Participants should meet Radiology guidelines regarding productivity in research, teaching, patient care, mentoring, and University service, as defined by their series, rank and step.

Plan Participants are responsible for actively participating in activities that support the department's/unit's objectives. Plan Participants are expected to demonstrate professional behaviors in all areas of work and share responsibility for the overall success and well-being, including financial well-being, of the department.

Loss of Good Standing may occur in the following instances:

- Finding of faculty misconduct
- Finding of research misconduct
- Finding of unsatisfactory performance in a Five-Year review
- Refusal or failure to participate in assigned duties
- Loss of clinical privileges (as required)
- Loss of licensure and/or credentials (as required)
- Refusal or failure to complete required trainings
- Lack of compliance with University policy and/or reporting requirements
- Failure to meet expectations related to the generation of salary support and/or shared expenses
- Participation in clinical or patient care activities performed outside of the University without an approved Professional Services Agreement or affiliation agreement.

#### **B. Administrative Review Process**

In cases of disagreement related to the determination of Good Standing of a Plan Participant or to specific consequences, the Chair shall meet with the Plan Participant to discuss how to remedy the situation and review the specific consequences as determined by the Plan including, but not limited to, initiation of the formal review process (outlined below). The Chair and the Plan Participant should strive for informal resolution, as appropriate to the circumstances, but a

specific timeline for resolving the conflict must be defined by the Chair. The Chair shall prepare a written document that summarizes the discussion; a copy of this document shall be given to the Plan Participant.

If informal resolution between the Plan Participant and Chair is unsuccessful, the Chair must provide the Plan Participant with a written statement that summarizes the reason(s) for requesting that a Plan Participant be deemed Not in Good Standing. The Chair's statement should include specific recommendations that describe what action(s) the Plan Participant must take to return to Good Standing if the Plan Participant is deemed to be Not in Good Standing. Relevant back-up documentation should be included.

The Plan Participant shall be given a copy of the Chair's written statement and have the opportunity to provide a written response to the Chair within 14 days. If the Plan Participant and Chair resolve the issue within the 14-day response period, the Chair shall provide the Plan Participant with a written document that the issue has been resolved and the matter is closed.

If the issue has not been resolved within the 14-day response period, the Chair's written statement, any supporting documentation, and the Plan Participant's written response (if provided) shall be sent to the Dean.

If the Dean agrees with the Chair's assessment, the Dean shall issue a written determination that the Plan Participant is Not in Good Standing. This written document will describe any corrective action(s) that must be taken in order for the Plan Participant to return to Good Standing. A copy of the Dean's determination shall be provided to the Plan Participant, the Chair, and the Vice Dean for Academic Affairs.

If the Dean does not agree with the Chair's assessment, the Dean will issue a written determination that the Plan Participant remains in Good Standing. A copy of the Dean's determination shall be provided to the Plan Participant, the Chair, and the Vice Dean for Academic Affairs.

Appeal process: If a determination is made that the Plan Participant is Not in Good Standing and the Plan Participant believes that the Good Standing Criteria were unfairly applied, the Plan Participant may appeal to the Advisory Committee. The Advisory Committee shall review the documents, may interview the Plan Participant and/or the Chair, and prepare a written assessment for the Dean. The final decision will be made by the Dean. Plan Participants who are Senate members may pursue their grievance rights before the Privilege and Tenure Committee under Senate Bylaw 335. Plan participants who are Non-Senate faculty are entitled to a Step III hearing under APM - 140.

### **C. Consequences**

The following consequences may be imposed on Plan Participants who are determined to be Not in Good Standing:

- Prohibition from participating in and/or retaining income from outside professional activities;
- Decrease in negotiated compensation (Y; see APM - 670-18-c (1));
- Loss of or reduction in incentive compensation (Z; see APM - 670-18-c (2));
- Requests for academic leave will not be approved and/or requests that were previously approved will be reconsidered.

Additional consequences may result, as set forth by other policies.

### **D. Return to Good Standing**

To return to Good Standing, the Plan Participant must submit a written request to the Chair that outlines how the issues have been resolved or rectified. The Chair shall review the request, assess the Plan Participant's progress, and submit his/her written recommendation to the Dean, along with the Plan Participant's request and other supporting documentation, if applicable. If the Chair's written assessment states that no progress or insufficient progress was made, the Chair should specify what further action(s) must be taken in his/her written recommendation to the Dean.

If the Dean endorses the Chair's assessment that no progress or insufficient progress was made, the Dean will notify the Plan Participant, in writing, that he/she is not returned to Good Standing and outline what further action(s) must be taken. A copy of the Dean's determination shall be provided to the Plan Participant, the Chair, and the Vice Dean for Academic Affairs.

If the Dean determines that all issues were resolved, the Dean shall provide a written assessment to the Chair. The Chair shall notify the Plan Participant, in writing, that s/he has returned to Good Standing. A copy of the Dean's assessment shall be provided to the Plan Participant, the Chair, and the Vice Dean for Academic Affairs.

If the Plan Participant does not submit a written request to the Chair, s/he shall remain Not in Good Standing.

If a Plan Participant remains Not in Good Standing for more than one calendar year, the Chair may wish to pursue further action(s), as set forth by other academic policies.

Appeal process: If the Dean determines that the Plan Participant has not returned to Good Standing and the Plan Participant disagrees with this determination, based upon unfair assessment or application of criteria, the Plan Participant may appeal to the Advisory Committee. The Advisory Committee shall review all written documents, may interview the Plan Participant and/or the Chair, and will prepare a written assessment for the Dean. The final decision will be made by the Dean, with written notification to the Plan Participant, Director, Plan Participant's academic home department chair and the Vice Dean for Academic Affairs. Plan Participants who are Senate members may pursue their grievance rights before the Privilege and Tenure Committee under Senate Bylaw 335. Plan participants who are Non-Senate faculty are entitled to a Step III hearing under APM - 140.

#### **IV. MEMBERSHIP IN THE HEALTH SCIENCES COMPENSATION PLAN**

Membership in the Health Sciences Compensation Plan ("the Plan") is a term and condition of employment. All new and continuing eligible members of the Plan ("Plan Participants") will receive a copy of the Regent's Plan document, the School's Implementing Procedures, the Radiology Implementing Guidelines and any related School and/or department guidelines setting forth campus and department policies that are applicable to faculty covered by the Plan, as well as updates to these policies.

Membership in the Plan continues so long as the Plan continues to be in effect. Separation from an eligible appointment terminates membership in the Plan.

Plan Participants who leave the compensation plan (effort  $\leq$  50% and compensated at scale 0) will remain outside of the plan for a full year (12 consecutive months) before being eligible to return to membership in the compensation plan.

School of Medicine faculty members employed by The Regents shall be Plan Participants if they hold University-funded appointments at greater than 50 percent of full time in a School of Medicine department or unit in any of the following professorial series: Professor, Professor in Residence, Professor of

Clinical \_\_\_\_ (e.g., Medicine), Adjunct Professor, Health Sciences Clinical Professor, and Acting Professor. Faculty in the Visiting Professor series who receive income for clinical services and meet the above criteria are also Plan Participants.

Faculty members who are otherwise eligible to be Plan Participants, as defined above, but who have appointments of 50 percent of full time or less may participate in the Plan upon the recommendation of the Chair and approval by the Dean or his/her designee.

Plan membership is required of faculty members at the San Francisco Veterans Affairs Health Care System ("SFVAHCS") whose UCSF funded appointment is greater than 50%. VA faculty whose UCSF funded appointment is 50% of full-time or less may participate in the Plan upon recommendation of the Chair and approval by the Vice Dean for Academic Affairs.

Deans and other faculty administrators shall be Plan Participants if they hold an underlying Health Sciences Compensation Plan faculty title; however, salary and reporting requirements are defined by the personnel policies that govern administrative appointments. If the faculty position is funded by two or more School of Medicine departments/units, the Plan Participant shall be subject to the department/unit guidelines of the department/unit in which the preponderance of his/her academic activities occur. Exceptions to this policy must be requested by submission of a written explanation for the request by the relevant Chairs/Directors and must be approved by the Dean or his/her designee.

If a Plan Participant's position is funded by two or more professional schools with health sciences faculty compensation plans, the Plan Participant shall belong to the compensation plan within the School in which his/her academic home department resides. Exceptions to this policy must be recommended by the relevant Chairs/Directors, endorsed by the Dean(s), and must be approved by the Chancellor.

A member of the faculty who was appointed in a health sciences school at the time of his/her retirement may be recalled as a Plan Participant in accordance with APM 205. All recalled faculty are limited to a maximum total monthly effort of 43 percent. Retired faculty members who are recalled at a salary rate greater than base salary (X, X'), as defined in Section V below, regardless of percentage effort, are required to be Plan Participants. **For recalled faculty who are Plan Participants, all terms and conditions of the Plan apply, including the requirement that all clinical and/or patient care activities must be provided**

**within the University setting or as part of an approved affiliation agreement or Professional Service Agreement. All clinical income is due the Plan. In no case are Plan Participants allowed to retain income from clinical and/ or patient care activities. All category I and II outside professional activities must be reported annually.**

## V. COMPENSATION AND BENEFITS

No single member professional corporation or any other form of professional corporation, partnership or other entity for the provision of healthcare is permitted for Plan Participants without the express written approval of the President.

Plan Participants must be provided the opportunity to review and comment on proposed changes to these Implementing Guidelines as well as any significant modifications, including the setting of approval thresholds, setting of APUs and departmental assessment rates. The guidelines shall detail:

- the Base Salary scale(s); and
- the manner in which Additional Compensation is negotiated; and
- the methodology for calculating Incentive Compensation and the frequency of payments; and
- the department's requirements on outside professional activities, including Good Standing criteria; and
- the department's policy on collecting and distributing income paid into the Plan; and
- the department's policies regarding paid and unpaid leaves of absence and sabbatical/professional development leaves.

Plan Participants' input on proposed department guidelines and subsequent revisions must be obtained by consultation with all affected Plan Participants in the department. Revisions to guidelines must be reviewed and approved by the Dean or his/her designee and may only be altered to take effect on July 1<sup>st</sup> of each year. Department guidelines may be more, but not less, restrictive than the Regents' Plan and must be consistent with the School of Medicine Implementing Procedures.

Individual salaries shall be negotiated annually between each Plan Participant and the Chair. Requests for salary increases that exceed the specified percentage determined by the Dean require the approval of the Dean or his/her designee.

Additional compensation shall be paid in accordance with the applicable University and department/unit guidelines during sabbatical leave, vacation leave, extended illness leave or other types of paid leave.

By July 1<sup>st</sup> of each year, each Plan Participant shall receive, in writing, from the Chair a statement of proposed compensation for the forthcoming fiscal year: July 1 – June 30. This communication must include the Plan Participant's Base Salary scale assignment, additional compensation, if applicable, and the methodology for calculating Incentive Compensation, if applicable.

**All clinical and/or patient care activities must be provided within the University setting or as part of an approved affiliation agreement or Professional Service Agreement. All clinical income is due the Plan. In no case are Plan Participants allowed to retain income from patient or clinical care activities. All category I and II outside professional activities must be reported annually and certain approvals are required.**

If a Plan Participant wishes to provide clinical care as a volunteer during an approved vacation leave, he/she shall consult with the Chair and Vice Dean for Academic Affairs well in advance of the proposed vacation leave to determine whether such activity is permitted.

For Plan Participants who engage in compensated clinical activities, in the event of termination of employment any outstanding account receivables will be the property of the University.

### Compensation

#### **A. Total Compensation**

Plan Participants shall receive Base Salary, as described below and in APM 670-19, be eligible for optional University additional compensation, as described below, and be permitted to retain other miscellaneous income, as described below and in APM 670-19.

Payment under the Plan shall be made directly to the Plan Participant in his/her individual capacity.

Generally, off-scale salaries are not permitted. No State funds shall be used for compensation above the portion of Base Salary equivalent to the Fiscal Year salary scales or for any optional University additional compensation, as described below.

## **B. Base Salary (X and X') and Academic Programmatic Unit (APU)**

Base salary is the approved rate on one of the Health Sciences Compensation Plan Salary Scales associated with a Plan Participant's academic rank, step and assigned APU. Base salary shall equal at least the approved rate on the Fiscal Year Salary Scale (HSCP Scale 0) for the Plan Participant's rank and step (X).

Base salary is covered under the University of California Retirement Plan (UCRP) up to the amount permissible under Internal Revenue Code provisions and in accordance with UCRP policy and provisions. Plan Participants' APU scale assignments shall be approved by the Dean or his/her designee and assignments may be changed in accordance with guidelines issued by the Chancellor. The differential between X (Scale 0) and a Plan Participant's rank and step on the HSCP Salary Scale assigned to the Plan Participant's APU is designated X-prime (X').

Effective July 1, 2020, whenever there is an adjustment to the HSCP scales, X' will increase in response to the range adjustment and the Y will be adjusted, such that there is no change to fixed compensation (X' + Y) for the remainder of the fiscal year. This applies to all departments and ORUs in the SOM.

### **APU: Base salary in Radiology is as follows:**

<b>Physicians in Clinical Practice:</b>	<b>Scale 6</b>
<b>PhDs and Other Research Faculty:</b>	<b>Scale 4</b>

- 1) For the purpose of determining the Health Sciences Base Salary Rate, each department shall establish at least one APU. An APU shall be comprised of Plan Participants who have similar clinical, teaching, and/or research/scholarly responsibilities. The Chair shall assign each Plan Participant to an APU based upon his/her clinical, teaching and/or research responsibilities. Each APU shall be assigned to an HSCP Salary Scale, according to the School's Implementing Procedures and these Implementing Guidelines.
- 2) In keeping with the responsibility of the University to ensure consistency of compensation by creation of APUs or assignment of faculty to APUs:

- a) The Dean or his/her designee is authorized to approve the faculty composition of each APU and assignment of a salary scale to that unit, subsequent to the Chair's recommendation.
- b) The Dean must receive advance approval from the Chancellor or the Chancellor's designee for an APU that consists of fewer than four Plan Participants. The request for approval shall include the criteria for composition of the proposed APU, and the name, series, rank, and step of each Plan Participant in the proposed APU.
- c) An APU must remain at its assigned HSCP Salary Scale for at least one year before being assigned to a higher or lower scale.
- d) An APU may move to a higher HSCP Salary Scale by a maximum of one scale per year. An APU typically moves down no more than one scale per year.

No individual Plan Participant may be moved from one APU to another without a significant change in duties or a change in department/unit. The Chair shall obtain written approval from the Dean or his/her designee prior to moving any Plan Participant from one APU to another.

### **C. Optional University Additional Compensation**

The Chair may provide for the payment of additional compensation, negotiated on an annual basis, to Plan Participants. This optional "Y" salary component is beyond the Fiscal Year base Salary (X) and Health Sciences Scale Differential (X') and is never covered compensation under the University of California Retirement Plan (UCRP). Prior to implementing or revising these Guidelines, affected Plan Participants and the Advisory Committee shall be afforded the opportunity to review and comment on the proposed Guidelines.

Additional compensation may be paid, in accordance with fund source restrictions, as follows:

#### 1) Negotiated additional compensation ("Y")

Plan Participants may receive a negotiated amount of additional compensation. This component is beyond the base salary and is not covered compensation for UCRP but may be eligible for optional disability and life insurance programs, where applicable.

Mid-year renegotiation of the Y is permitted only under unusual circumstances and only with the approval of the Dean or his/her designee and the Chancellor or his/her designee.

In Radiology, additional compensation will be negotiated with the department chair on an annual basis, based on the following methodology:

- a. The AAMC salary data (national averages for total compensation of full-time faculty) and AAARAD sub-specialty data (collected through an annual survey of academic radiology departments) will be utilized to establish an appropriate target by subspecialty for the sum of X' and a portion of the Y ( $Y_A$ ) salary for all faculty based on rank and step.
- b.  $Y_A$  is defined as an amount established by the chair each year to bring the X' plus  $Y_A$  to the target salary by subspecialty for each rank/step. This amount is not guaranteed beyond a single fiscal year, but is used to determine step adjustments.
- c. Faculty will receive an increase in this X' plus  $Y_A$  for each step advance, with smaller amounts for salaries above the established targets. In addition, there may be adjustments for salaries substantially below or above AAMC target values.
- d. Performance Y ( $Y_P$ ) is defined as an amount of additional compensation negotiated by the Chair in consideration of the individual faculty member's prior year's performance.

For M.D. clinicians,  $Y_P$  is based on the following:

- i. Annual academic performance evaluation
- ii. Revenue production in relation to salary
- iii. Clinical workload compared to AAARAD survey
- iv. Resident or student teaching evaluations, and
- v. Good citizenship such as leadership qualities, service excellence, attendance at staff meetings/grand rounds, report turn-around, respect for patients, hospital employees and staff physicians, and willingness to cover clinical work, especially at other hospitals.

For the Ph.D. faculty, the  $Y_P$  is based on:

- i. Annual academic performance evaluation
- ii. Grant salary funding
- iii. Resident or student teaching evaluations, and
- iv. Good citizenship such as leadership qualities, service excellence,

attendance at staff meetings, and respect for/cooperation with staff, students, and other faculty.

At the annual performance review meeting with the Chair (or Service Chief), goals for the coming year will be established, related to the above categories. The success in achieving these goals will be determinate in the following year's Y<sub>P</sub>. The Y<sub>P</sub> salary component is renegotiated annually, and is based on the financial performance of the entire department and if sufficient funds are available.

## 2) Administrative Stipends

Plan Participants may receive administrative stipends, defined as payments by the University for responsibilities related to University administration that exceed normal responsibilities.

The department must consult with the Dean's Office if they are proposing payment of such a stipend as part of the Plan Participant's covered compensation because such stipend payments are generally reserved for Chairs and Directors in recognition of their significant administrative leadership responsibilities.

## 3) Incentive compensation ("Z")

Plan Participants may receive incentive compensation, referred to as a Z payment, beyond the base and negotiated compensation, upon approval by the Chair. Incentive compensation is not considered covered compensation for UCRP. The Chair may earn incentive compensation upon approval of the Dean or his/her designee.

Z payments are drawn from income accumulated in the Plan in excess of financial requirements. Incentive compensation payouts are at the discretion of the Chair and are contingent upon the strategic needs of the department, the good standing of the plan member and/or the department's financial condition.

If any portion of the department's Funds Flow Tier 2 revenue is calculated based on the revenues (charged or collected) or operating margin of the department or one or more individual plan participants, that portion of the Funds Flow Tier 2 revenue cannot be used for compensating any physician in the department. Such revenue can be used to cover non-physician administrative and overhead expenses.

### a) UCSF Health Locations Clinical Incentives

- i) Clinical incentive payments (called  $Z_C$ ) are based on a split of net funds flow revenue accruing to the department after funds flow assessments, UCOP taxes, section expenses, and academic overhead (defined in iv below), providing 25% to the section to be divided equally among full time (pro-rated for part-time) faculty at the level of Assistant Professor and above performing clinical work in the section during the time that the revenue is realized. The remaining 75% is retained as departmental revenue.
- ii) Section expenses include faculty, fellow and section personnel salaries and benefits, communication expense, supplies, and other departmental and/or campus assessments allocated to individual units (e.g., GAEL & HSC). Faculty who are shared between sections or hospitals by prior agreement will be prorated accordingly for both income and expense.
- iii) If a faculty member requests and the section chief agrees to transfer time for the faculty member from clinical work to additional academic time or research time, then the section chief requests approval from the Chair. The guiding principles are as follows:
  - (1) **Research grants.** In general, the full clinical Z and the full research Z (described below) should be given to faculty at the level of Assistant Professor and above who engage in research and clinical work. If a significant portion of clinical work must be transferred to other faculty a reduction in clinical Z might be justified.
  - (2) **Additional academic time.** Junior faculty without grant funding should be encouraged to develop their careers and should be given sufficient academic time to do so. If the section chief agrees to provide significant additional academic time, a proportional reduction in the clinical Z is permitted, with Chair approval. Other factors to consider are on-call responsibilities and the added workload for other faculty.
  - (3) **Non-academic time.** Requests to spend significant time for the pursuit of additional training, not requested by the department, or for time to perform consulting or other outside activity require approval of the section chief and Chair. A reduction in clinical Z is expected in addition to full recovery of salary expense. If clinical time is reduced to provide support for a departmentally assigned leadership role, then generally no reduction in clinical Z will occur.

- iv) Academic overhead supports the infrastructure of the academic aspects of the department, which include the Stone Library, Learning Center, Business Office, Computer Support, Chair's Office, Residency Program, Grand Rounds, and similar expenses. Academic overhead is applied to each section as a fixed percentage of clinical revenue. The rate is 10% of revenue, but may be adjusted in future years based on the costs of these activities.
- v) Clinical incentive payments will be made semi-annually in April and October, covering July-December and January-June respectively.

**b) Affiliated Hospital Clinical Incentives**

- i) ZSFG and the SFVAHCS will be treated as cost centers. When other faculty work at these sites, reimbursement to the Section will be based on an agreed upon rate.
- ii) Academic overhead for ZSFG covers those portions of the central departmental infrastructure that provide services to ZSFG, such as the Chair's Office, Business Office, and Residency Program. Overhead assessments at ZSFG will remain at ZSFG, and the department will charge ZSFG for direct services of the departmental infrastructure. These amounts may be adjusted annually based on the costs of these activities.

**c) Research Incentives**

- i) For faculty who are M.D. clinicians, a Z payment (called Zr) will be given to faculty based on salary support from any research grant or contract (not consulting or non-research contracts). A research incentive will be provided, in recognition of a faculty member's ability to generate extramural salary support. This Zr will be calculated as 25% of the individual faculty member's salary that is supported by the extramural funding. Recognition will be given for salary support from grants with other principal investigators, as long as it provides salary savings for departmental professional fees. These payments will be made quarterly.
- ii) Grant support and incentive payments will be reflected on the P&L statements as follows: All grant support for faculty members' salary/benefits will be included as revenue to the section. All salary/benefit costs for section faculty (grant and clinical) will be included as expenses to the section. Grant revenue will be exempted from Department taxes and department overhead.

**d) Other Incentives**

From time to time the Chair may establish incentives for performance, e.g., report turn-around time incentives. The criteria for these incentives will be clear and apply to all Plan Participants who meet these criteria and are otherwise eligible to receive incentive payments.

**e) Notice**

Faculty who resign from the Department and leave UCSF must give a minimum of six months' written notice to the Chair in order to receive any incentive compensation that they may have earned prior to their departure.

**D. Department/Unit Requirements on Outside Professional Activities**

**General Principles**

Outside Professional Activities, whether compensated or uncompensated, and regardless of financial interest, are activities within a Plan Participant's area of professional, academic expertise and that advance or communicate that expertise through interaction with industry, the community or the public. Outside additional teaching, as described in APM - 671-10-a-(2)-(a), is included in this definition. Outside professional activities must not interfere with a Plan Participant's professional obligation to the University.

A conflict of commitment occurs when a Plan Participant's outside activities interfere with the Plan Participant's professional obligations to the University.

**All clinical and/or patient care activities must be provided within the University setting or as part of an approved affiliation Agreement or Professional Service Agreement. All clinical income and income derived from patient care activities is due to the Plan. Plan Participants are never allowed to retain income from clinical or patient care activities. All income earned while on paid or unpaid leaves of absence (e.g., vacation, holidays, or weekends) is due the Plan. Income due the Plan must be deposited into the revenue account of the appropriate department/unit compensation plan fund. The types of professional income that are subject to these requirements, as set forth in the Regents' Plan, includes both cash and non-cash compensation (e.g., stock or stock options).**

**Mechanisms for Addressing Potential Conflicts of Commitment**

Outside professional activities must be undertaken in a manner consistent with the Plan Participant's professional obligations to the University. Outside

activities must not conflict with the Plan Participant's obligations to students, colleagues or to the University as a whole.

Plan Participants may engage in outside professional activities (other than patient care) only if they are deemed to be in Good Standing and may retain the income from outside professional activities only in accordance with the terms of APM 670 and 671, the Implementing Procedures and these Implementing Guidelines.

**Plan Participants are responsible for:**

- (1) Reading and actively complying with these Guidelines. Plan Participants are expected to consult these Guidelines and to obtain prior clarification from the Department's Chief Financial Officer and/or Chair and approval from their Chair.
- (2) Maintaining Good Standing in accordance with the Implementing Procedures and these Guidelines;
- (3) Obtaining prior written approval for engagement in Category I activities;
- (4) Maintaining a running total of annual earnings from, and time spent on, all outside professional activities;
- (5) Depositing all income that exceeds the earnings approval threshold into the Plan, with the exception of income earned from Category III activities and certain other activities listed in APM - 671-10-b;
- (6) Obtaining prior written approval to engage in outside professional activities that may result in exceeding the total annual time and/or earnings approval thresholds;
- (7) Submitting annual reports of all Category I and II activities and compensation earned from such activities (or the lack thereof) to the Chair. The Chair shall submit his/her annual reports of all Category I and II activities and compensation earned from such activities (or the lack thereof) to the Dean or her/his designee;
- (8) Attesting to adherence with the requirements of the policy in the annual report;

(9) Disclosing any current or prospective outside professional activity to the Chair if there is any conflict of commitment; and

(10) Obtaining prior approval from the Chair before involving a student in an outside professional activity (see APM - 671-8-f).

Payments for professional outside activities, including those where the income is due the Plan, shall be made payable to the Plan Participant and not to the Regents. The Regents are not a party to a Plan Participant's outside professional activities.

**1. The limit on the amount of time that may be devoted to outside professional activities ("Time Threshold"):**

The maximum amount of time allowed must not exceed the time limit established for compensated outside professional activities in Academic Personnel Policy 671 (currently 384 hours or 48 days). **The Dept. of Radiology allows 48 days or 384 hours annually.**

Plan Participants who wish to exceed the time threshold for outside professional activities stipulated in these Implementing Guidelines must receive advance written approval from the Chair and the Dean or his/her designee. The Chair must request advance written approval from the Dean or his/her designee. All income from activities in excess of the time threshold is due the Plan, even if the earnings threshold has not been reached.

**2. The limit of the amount of earnings from outside professional activities that a Plan Participant may retain ("Earnings Threshold"):**

**Effective with the issuance of these Guidelines, the maximum annual outside professional earnings threshold is \$40,000 or 40% of the Plan Participant's fiscal-year base salary scale (Scale 0), whichever is greater.** This includes cash and non-cash compensation (see Section V.E.)). All income that exceeds the earnings threshold and is derived from outside professional activities is due the Plan, even if the time threshold has not been reached.

As set forth in Section III of these Implementing Guidelines, Plan Participants must satisfy the Good Standing criteria in order to be allowed to earn and/or retain income from outside professional activities. A Plan Participant who has satisfied the Good Standing criteria set forth in these Implementing Guidelines who has not exceeded the department's time threshold for outside professional activities, and whose annual earnings from all outside professional activities is

estimated to be less than the income approval threshold, is allowed to engage in outside professional activities (other than clinical/patient care) without having to request prior approval from the Chair unless required by other Academic policies, e.g. APM 671 for Category I activities.

### 3. Retention/Non-retention of Income

Certain categories of income that accrue from occasional service, as described below, may be retained by Plan Participants. The Chair and/or Dean or his/her designee shall monitor the frequency of individual activity in these areas.

Plan Participants may retain income (up to the threshold limits) from the following activities:

- Occasional service **other than clinical and/or patient care**;
- Additional University-compensated teaching, including teaching for University Extension courses and programs (See APM 662, Additional Compensation: Additional Teaching);
- Teaching in University-run continuing health education programs;
- Teaching in self-supporting UC degree programs;
- Consulting under the auspices of the University of California;
- Consulting or testifying as an expert or professional witness;
- Consulting for for-profit entities;
- Consulting for non-profit entities;
- Consulting for non-profit health- or education-related organizations;
- Service to governmental agencies, including consulting to such agencies;
- Service on a board of directors outside of the University, whether compensated or uncompensated;
- Providing or presenting a workshop for industry;
- Providing outside consulting or compensated professional activities performed for entities such as the Los Alamos and Lawrence Livermore National Laboratories.

RAD Income Retention from Occasional Outside Professional Activities			
	Retained by Plan Participant (income is not deposited to the Compensation Plan)	Due to Comp Plan (income is deposited to the Compensation Plan)	Must be included in Annual Reporting and counted in 48-day limit
All patient care income, regardless of where the	Never	Yes	Not applicable

<b>RAD Income Retention from Occasional Outside Professional Activities</b>			
	<b>Retained by Plan Participant (income is not deposited to the Compensation Plan)</b>	<b>Due to Comp Plan (income is deposited to the Compensation Plan)</b>	<b>Must be included in Annual Reporting and counted in 48-day limit</b>
clinical activity is performed			
Prizes (recognition of personal achievement)	Yes	No	No
Royalties (author, inventor)	Yes	No	No
Honoraria for occasional lectures, public appearances outside the University	Yes	No	No
University honoraria (e.g., occasional lectures)	Yes	No	No
Income unrelated to qualifications for University appointment	Yes	No	No
Service to governmental agencies	Yes, up to 48 days and <\$40,000* total outside earnings	Yes, for work that exceeds 48 days and the earnings threshold (>\$40,000*)	Yes (travel time excluded for this category)
Service or consulting to non-profit health- or education-related organizations or other non-profit entities;	Yes, up to 48 days and <\$40,000* total outside earnings	Yes, for work that exceeds 48 days and the earnings threshold (>\$40,000*)	Yes
Continuing health education programs administered by the University or University extension	Yes, up to 48 days and <\$40,000* total outside earnings	Yes, for work that exceeds 48 days and the earnings threshold (>\$40,000*)	Yes
Consulting to for-profit entities	Yes, up to 48 days and <\$40,000* total outside earnings	Yes, for work that exceeds 48 days and the earnings threshold (>\$40,000*)	Yes
Expert or professional witness fees	Yes, up to 48 days and <\$40,000* total outside earnings	Yes, for work that exceeds 48 days and the earnings threshold (>\$40,000*)	Yes
* or forty percent of the Plan Participant's fiscal-year base salary scale (Scale 0), whichever is greater			

#### **4. Categories of Outside Professional Activity**

A conflict of commitment occurs when a Plan Participant's outside activities interfere with his/her professional obligations to the University. Outside professional activities are categorized based on the extent to which a conflict of commitment is likely to arise. When an activity could fall under more than one category, it should be assigned to the category which requires more stringent reporting and prior approval.

### Category I

Category I activities are most likely to create a conflict of commitment because: 1) they are activities related to the training and expertise which are the individual's qualification for University appointment, but performed for a third party, and/or 2) they require significant professional commitment.

**Category I activities require prior approval by the Chair, Dean or his/her designee, and the Chancellor and require disclosure in annual reporting, regardless of financial remuneration.** Approvals are generally for one fiscal year but may be requested for a longer term, not to exceed five years. Category I activities count toward the Plan Participant's time threshold for outside professional activities and earned income counts toward the earnings approval threshold.

Category I activities include, but are not limited to:

- (a) Teaching, research, or administration of a grant at an educational institution, trust, organization, government agency, foundation, or other entity outside of the University. Grants submitted on behalf of a professional society are exempt from this restriction, i.e., are not considered Category I activities;
- (b) Employment outside of the University;
- (c) Assuming a founding/co-founding role of a company;
- (d) Assuming an executive or managerial position outside of the University. This does not include leadership positions within professional societies.

### Category II

Category II activities are typically shorter term activities that are outside the course and scope of University employment. Category II activities have a lesser potential for a conflict of commitment than Category I activities.

Category II activities require disclosure in annual reporting but do not require prior approval unless they will cause the Plan Participant to exceed the time and/or earnings threshold. Time devoted to these activities counts toward the time threshold. Income earned from these activities counts toward the earnings threshold.

Examples of Category II activities include, but are not limited to:

- (a) Additional University-compensated teaching, including teaching for UNEX courses and programs (see APM - 662, Additional Compensation: Additional Teaching); or
- (b) Participation in continuing health education programs run by the University; or
- (c) Participation in self-supporting UC degree programs. These are teaching activities outside of the assigned teaching load. If the department assigns the teaching activity, it is not considered an outside activity; or
- (d) Consulting under the auspices of the University of California; or
- (e) Consulting or testifying as an expert or professional witness; or
- (f) Consulting for for-profit entities; or
- (g) Consulting for non-profit entities; or
- (h) Consulting for non-profit health or education-related organizations; or
- (i) Consulting for government agencies; or
- (j) Serving on a board of directors outside of the University, whether compensated or uncompensated; or
- (k) Providing or presenting a workshop for industry; or
- (l) Providing outside consulting or compensated professional activities performed for entities such as the Los Alamos and Lawrence Livermore National Laboratories; or

- (m) Other income-generating activities specified in the School's Implementing Procedures.

### Category III

Category III activities are within the course and scope of the Plan Participant's University employment. As such, they are unlikely to raise concerns about conflict of commitment.

Category III activities, even if compensated, do not require disclosure in annual reporting or prior approval, do not count toward the Plan Participant's time threshold for outside professional activities, and the income does not count toward the earnings approval threshold. Nevertheless, these activities must not interfere with a Plan Participant's obligations to the University.

Examples of Category III activities include, but are not limited to:

- (a) Serving on government or professional panels or committees or as an officer or board member of a professional or scholarly society;
- (b) Reviewing manuscripts or acting in an editorial capacity;
- (c) Attending and presenting talks at university/academic colloquia and conferences; and
- (d) Developing scholarly or creative works.

### 5. Other Income That May be Retained by Plan Participants

Income from the following activities may be retained by Plan Participants and does not count toward the earnings threshold. Time devoted to the following activities does not count toward the time threshold:

- Prizes, defined as gifts in recognition of personal achievements and not for services rendered;
- Royalties, defined as shares of proceeds for contributions as authors or inventors, as allowed under the University's copyright and patent policies;
- 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;

- University honoraria, defined as payment for occasional lectures or similar services performed on a University of California campus, as permitted by Academic Personnel Policy (See APM 666, Additional Compensation: Honoraria) and applicable UCSF policies;
- Administrative stipends; and
- Income from a profession unrelated to the training and experience which is the Plan Participant's qualification for University appointment, as determined by the Chair, in consultation with the Dean or his/her designee.

Please note that the term "honoraria" may be used by other institutions or agencies to refer to compensation for a wide variety of activities. A Plan Participant should not rely on the use of the term "honoraria" or a similar label that describes the type of payment to determine whether such a payment may be retained by the Plan Participant or deposited into the Plan. The Plan Participant should consult with the Chair or Chief Financial Officer.

#### **E. Non-Cash Compensation, including Stock and Stock Options**

Professional income governed by the Plan includes cash and non-cash compensation. **Plan Participants are required to disclose non-cash compensation received in exchange for any type of professional service within 30 days of receipt.** The following paragraphs provide specific guidance with respect to stock, stock options, and founders' stock.

A Plan Participant who receives **stock** in lieu of compensation for outside professional activities must disclose this fact to the Chair and to the Dean's Office within 30 days of the date of receipt, at which time the stock will be valued. If the stock is given to the Plan Participant at no cost, payment in dollars equal to the stock's full value on the date of receipt is due the Plan. If the purchase price is equal to the market price/value on the date of receipt, no money is owed the Plan. If the purchase price is below the valued price on the date of receipt, the difference between the purchase price and the value of the stock on the date of receipt is due the Plan. Following determination of the value of the stock, the Plan Participant will be notified of the nature of any Plan obligations, based on the above methodology. Plan Participants who do not disclose receipt of stock within 30 days of receipt will owe the Plan the difference between the purchase

price or value of the stock at the time of receipt and the value of the stock at the time it is disclosed. Disclosure at the time of receipt is required regardless of the stock's potential valuation, and regardless of whether a Plan Participant believes that any payment is due the Plan. Plan Participants may be able to retain the money due the Plan if they have not yet met or exceeded their time and/or earnings threshold for outside professional activities. However, both the time spent on outside professional activities related to the receipt of stock and any income due the Plan under the formula above must be counted toward the time and earnings thresholds.

A Plan Participant who receives **stock options** in lieu of compensation for outside professional activities must disclose this fact to the Chair and the Dean's Office within 30 days of the date the stock option agreement is signed. The Dean's Office shall obtain a valuation of the stock options as of the date of the agreement. If the option offer price is equal to or greater than the stock's valuation/market price on the date the agreement is signed, no money is owed the Plan. If the option price is below its valued price on the date the agreement is signed, the difference between the option price and the value of the stock is due the Plan. Following determination of the value of the stock, the Plan Participant shall be notified of the nature of any Plan obligations, based on the above methodology.

Plan Participants who neglect to disclose stock options within 30 days of signing stock option agreements shall owe the Plan the difference between the offered option price at the time the agreement was signed and the value of the stock options at the time it is disclosed. Disclosure of stock options is required regardless of 1) the stock's potential valuation, 2) whether the Plan Participant intends to exercise the options, and 3) whether the Plan Participant believes that any dollars are due the Plan. Plan Participants may be able to retain the dollars due the Plan if they have not yet met or exceeded their time and/or earnings threshold for outside professional activities. However, both the time spent in outside professional activities related to the receipt of stock options and any income that would be due the Plan under the formula above must be counted toward the time and earnings thresholds.

A Plan Participant who receives **founder's stock** in lieu of compensation for outside professional activities must disclose this fact to the Chair and to the Dean's Office within 30 days of the date of receipt. The founder's stock will be valued by the Dean's office as of the date of receipt and any value shall be due the Plan. Since the value of founder's stock is generally insignificant, in most cases a negligible amount will be due the Plan. However, if the founder's stock is not disclosed within 30 days of receipt, the entire value of the founder's stock when the disclosure is ultimately made shall be due the Plan. Both the time

spent in outside professional activities related to the receipt of stock options and any income that would be due the Plan under the formula above must be counted toward the time and earnings thresholds.

#### **F. Exception Requests**

A Plan Participant may request approval to exceed the time and/or earnings approval thresholds by completing the electronic spreadsheet request form maintained by the department.

#### **Advance, written approval is required in the following instances:**

Advance, written approval from the Chair, Dean or his/her designee and the Chancellor is required for all Category I activities.

Advance, written approval from the Chair is required for all outside professional activities involving students or the use of University resources beyond incidental use.

Advance, written approval from the Chair and the Dean or his/her designee is required for all requests to exceed the time and/or earnings thresholds. Only the Chancellor or his/her designee has the authority to approve a professional activity that involves a Plan Participant retaining earnings that exceed the earnings threshold.

If the department/unit has adopted an annual threshold that is lower than the Plan maximum (\$40,000 or 40% of the Plan Participant's fiscal-year base salary (scale 0)), the Chair must approve all activities that exceed the department/unit maximum up to the Plan maximum. The Dean or his/her designee must approve such activities for the Chair.

If a Plan Participant wishes to engage in an outside professional activity that might reasonably be expected to exceed the earnings threshold, s/he must request written approval to engage in the activity. To request approval, the Plan Participant is required to submit a written request in advance of the activity to the Chair. **The Department of Radiology uses an electronic form developed by the Dean's Office that includes all the required information and Plan Participants should utilize this form in making their requests.** The Chair shall submit a written request (this form) to the Dean or his/her designee. The request to exceed the earnings threshold must include relevant details about the proposed activity, including the nature of the services to be provided, the person

or entity who will pay for the services<sup>1</sup>, the anticipated period of service and/or hours to be devoted to the activity, the total expected earnings from the activity, and the amount by which the Plan Participant's total annual earnings from outside activities are expected to exceed the earnings threshold.

The Chair shall forward to the Dean or his/her designee any request which requires review by the Dean and/or Chancellor, in accordance with these Implementing Guidelines and APM 670/671. If a request is not approved, the Chair shall advise the Plan Participant whether: 1) the activity may be undertaken, but with all related earnings accruing to the department, in accordance with these Implementing Guidelines and established accounting practices; or 2) the activity may not be undertaken. If a Plan Participant has received approval to engage in an activity that is reasonably expected to cause his/her total annual earnings from outside professional activities to exceed the established approved earnings threshold, s/he must request the Chair's and Dean's approval for all subsequent engagement(s), **again, utilizing the department's electronic form**. If any subsequent engagement is allowed, the engagement shall be undertaken with all related income accruing to the Plan unless an exception is approved in writing, in accordance with these Implementing Guidelines.

The Chair and/or the Dean or his/her designee may approve a Plan Participant's request to engage in outside professional activities in accordance with the School's Implementing Procedures and these Implementing Guidelines. Plan Participants shall notify the Chair immediately if they inadvertently exceed the earnings threshold or if any of the information they provided in an approval request changes or is found to be inaccurate. For example, a Plan Participant should immediately notify the Chair if the initial estimate of earnings from an outside professional activity was inadvertently understated. Plan Participants are subject to corrective action and disciplinary measures, as outlined below and in APM 671-26 b for violation, neglect or manipulation of requirements contained in the Implementing Procedures and these Guidelines. Plan Participants may also be found to be Not in Good Standing in accordance with Section III A of the School's Implementing Procedures and these Implementing Guidelines. The Chair must notify the Vice Dean for Academic Affairs if they believe a Plan Participant has violated, neglected, or manipulated any of these Guideline's requirements. Plan Participants may be subject to corrective action and disciplinary measures for such violations.

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• <sup>1</sup> When required to ensure patient confidentiality, the person or entity to be reported as recipient/payer for professional witness activities is the attorney or the law firm requesting the services.

This policy must conform to the Regents' Plan Conflict of Commitment and Outside Activities of Health Sciences Compensation Plan.

### G. Disposition of Outside Income Due the Plan

All outside income earned beyond either the 48-day limit or \$40,000/40% of fiscal- year base salary (scale 0) earnings threshold is due the Plan and will be allocated to the Plan Participant quarterly, according to the following formula:

Outside Earnings Due the Plan	Dean's Tax	Faculty share	Department Share
\$1 - 50,000	4.3%	90%	5.7%
Over \$50,000	4.3%	70%	25.7%

Please note that the Dean's tax may change at any time, which may require a corresponding change in the faculty member's share. By default, outside income share allocations to a Plan Participant will be paid as a Z Payment. Under IRS Code, if the faculty member has not received approval to designate his/her allocations to an academic enrichment account per the procedures below, the Plan member MUST receive the dollars as a Z payment paid through the UCSF payroll system.

### Academic Enrichment Accounts

By May 31<sup>st</sup> of each year, each Plan Participant shall submit a written document to the Chair that specifies her/his preferences for allocating income within the Plan and obtain the Chair's written approval. The Chair shall submit a written request to the Dean or her/his designee to allocate funds for the upcoming fiscal year; the request will be reviewed by the Dean or her/his designee and, if approved, the Dean's office will issue a written approval to the Chair.

One of the following options for income accumulated in the Plan in excess of financial requirements that will remain in effect for the forthcoming fiscal year (July 1 - June 30) must be selected by the Plan Participant. Changes are not permitted under any circumstance until the following fiscal year.

- **Option A: Z Payment**

Income is paid as a "Z" payment on a periodic basis according to the Department schedule. A "Z" payment may be paid earlier than scheduled if the Plan Participant retires or separates from University employment or upon approval of the Chair. **This is the default option**

**and it will be implemented each year for Plan Participants who do not request another option in writing by May 31<sup>st</sup> of the preceding fiscal year.**

- **Option B: Academic Enrichment Account**

Income is allocated to an Academic Enrichment Account. This income is never eligible to be taken as a “Z” payment or as salary by the Plan Participant. Unexpended balances remain the property of the University when the Plan Participant retires or separates from University employment.

Income is paid as a “Z” payment on a periodic basis according to the department’s schedule. A “Z” payment may be paid earlier than scheduled if the Plan Participant retires or separates from University employment or upon approval of the Chair. **This is the default option and it will be implemented each year for Plan Participants who do not request another option in writing by May 31<sup>st</sup> of the preceding fiscal year.**

Academic Enrichment Accounts are established for the purpose of supporting the academic activities of Plan Participants by allowing direct charge or reimbursement for business-related expenses. Funds allocated to an Academic Enrichment Account may be used to support University-approved academic professional activities that are allowed as direct charge or reimbursable University-related business expenses for an individual Plan Participant, consistent with the University’s accounting guidelines. **Once funds are allocated to an Academic Enrichment Account, these funds cannot subsequently be used for faculty salary support.** Funds are allocated to an Academic Enrichment Account under the following conditions:

- The Academic Enrichment Account may be allocated from a portion of a Plan Participant’s outside professional activity income due to the Compensation Plan; or
- On an annual basis, if allowed by his/her department Implementing Guidelines, a Plan Participant may request that funds be allocated to an Academic Enrichment Account for the forthcoming fiscal year (July 1 through June 30) and such a request **must always occur in writing prior to July 1<sup>st</sup> of the forthcoming fiscal year in which the income will be earned.**
- The Chair or his/her designee reviews the Plan Participant’s allocation request and, if approved, gives written approval to the Plan Participant. Chairs may submit a written request to the Dean to allocate funds for the upcoming fiscal year to an Academic Enrichment Account. The request shall be reviewed by the Dean or his/her designee and, if approved, the

approval shall be in writing. Disposition of the funds in an Academic Enrichment Account is under the auspices of the department. UCSF, through the Chair, has final authority over the use and distribution of funds held in an Academic Enrichment Account.

- **Funds that have been allocated to an Academic Enrichment Account cannot be converted to an incentive payment or salary support for the Plan Participant; they remain Academic Enrichment Account funds.**
- The department must maintain detailed records that are readily available for audit and other appropriate reviews to document the allowable nature of the reimbursable academic professional expenses that are paid from a Plan Participant's Academic Enrichment Account. Plan Participants must submit all required supporting documentation for reimbursement, consistent with University accounting guidelines. Unspent travel advances or any other disallowed amounts charged to the Academic Enrichment Account must be repaid by the Plan Participant, consistent with the University's accounting guidelines.
- An Academic Enrichment Account can maintain a positive balance at the end of a fiscal year that may be carried forward to the next fiscal year, at the discretion of the Chair. Disposition of year-end positive balance is communicated annually to the Plan Participant at the time that requests for allocations to an Academic Enrichment Accounts are made.

In the event of termination of employment, any outstanding account receivables shall be treated in accordance with the compensation arrangement of the individual Plan Participant. Specifically, receivables generated by Plan Participants who are not eligible for Incentive Compensation shall be the property of the University. Academic Enrichment Account funds remain the property of the University. Receivables originated by Plan Participants who are eligible for Incentive Compensation are the property of the University. All Incentive Compensation, including payments for outstanding account receivables, shall be paid through the University of California's payroll system.

#### **H. Limitations on Use of University Resources in Connection with Outside Professional Activities**

The use of University staff, laboratories, facilities, or other University resources in connection with outside professional activities is subject to limitations. If the department's Implementing Guidelines permit Plan Participants to retain income from professional consulting for for-profit entities or expert witness activities, the costs associated with the consulting or witness activities are to be borne by the third party or the Plan Participant, not by the University (Faculty Code of Conduct, Part II. C, and APM- 015, Section II).

The University's liability and workers' compensation coverage does not extend to any activity that is outside of the course and scope of the Plan Participant's University employment. Some outside professional activities, particularly certain consulting and expert witness testimony, would generally be considered outside the Plan Participant's course and scope of University employment, depending on the facts and circumstances of any given case. Questions about University liability coverage or exposure in connection with a specified activity should be discussed with the Office of Risk Services at the Office of the President.

Limited use of university resources for outside professional activities may be acceptable. Examples of acceptable use include: use of office telephones or faxes for incoming or outgoing communications (although long-distance charges should not be borne by the University); limited use of departmental office space for interviews or other similar activities; use of a University-provided computer (though not departmental or university computer support personnel). And while administrative support staff might appropriately accept phone calls, take messages and schedule appointments at the request of individuals outside the University, they should not be asked to arrange meetings, prepare materials, schedule travel, etc. when these activities relate to the outside professional activities of a faculty member.

### **I. Involvement of Students in Outside Professional Activities**

For the purpose of this policy, "student" includes trainees, graduate students, professional students, residents, fellows, and postdocs.

Involvement of students in the outside professional activities of a Plan Participant may, under certain conditions, offer the student potential educational benefits. However, the relationship between the Plan Participant and the student must be protected from influences or activities that could interfere with the student's learning and must be consistent with the goals and ideals of the University (The Faculty Code of Conduct, APM - 015). A Plan Participant who involves a student in outside activities has the responsibility to ensure that the student's participation does not interfere with the student's academic obligations.

If the Plan Participant has, or expects to have, academic responsibility (instructional, evaluative, or supervisory) for the student, the Plan Participant must obtain prior written approval from the Chair before involving a student in an outside professional activity, regardless of whether the Plan Participant is compensated or has a financial interest in the activity. Involvement of students

means any substantive activity in which the student participates, whether the student is compensated or uncompensated. The involvement of a student in the outside professional activity of a Plan Participant must never affect, positively or negatively, the Plan Participant's evaluation of the student's performance in any other context.

## **J. Records and Reporting of Outside Professional Activities**

Plan Participants are responsible for maintaining updated records and a cumulative total of their annual earnings and the time devoted to all outside professional activities, whether or not they believe they will exceed the time or earnings threshold and whether or not the funds are due the Plan.

All Plan Participants are required to submit to the Chair an annual report in the Outside Activity Tracking System (OATS) that describes the previous year's outside professional activities from which the Plan Participant received income or allocated time and an attestation of adherence to these Guidelines. The annual report should itemize outside activities in temporal order and should be consistent with the reporting requirements specified in APM 671 and any successive sections of the APM. It is the responsibility of the Chair to review this information for each Plan Participant. The Chair's annual report shall be submitted in OATS to the Vice Dean for Academic Affairs. It is the responsibility of the Plan Participant to bring to the attention of the Chair of any activity(ies) that require(s) advance approval, as detailed above.

Service performed during paid or unpaid leaves of absence, including, but not limited to, weekends, vacation days, holidays, sabbatical leaves, and professional development leaves, is reportable and counts toward the time and earnings thresholds.

## **K. Non-Compliance**

### **1. Monitoring and Enforcement**

The Chair has the primary responsibility for monitoring and enforcing the requirements of these Guidelines. The primary means of monitoring compliance shall be the Chair's review of the information the Plan Participants provide in their annual report on outside professional activities. If the Chair has concerns about whether a Plan Participant is meeting the established standards, the matter should be referred to the Dean's Office. The responsibility for oversight of the outside professional activities of the Chairs resides with the Dean and may be delegated to the Vice Dean for Academic Affairs.

## 2. Corrective Action and Disciplinary Measures

The University reserves the right to impose administrative remedies and/or to take corrective action and disciplinary measures against any Plan Participant who fails to comply with the Plan, the School's Implementing Procedures, and/or these Implementing Guidelines on outside professional activities.

Situations where Plan Participants will be considered out of compliance include, but are not limited, to:

- a) Failure to disclose and deposit income due to the Plan, as required by the Implementing Procedures and these Guidelines;
- b) Failure to accurately disclose and describe the nature and scope of outside professional activities, as required by the Implementing Procedures and these Guidelines;
- c) Failure to obtain prior written approval for all Category I activities and/or for outside professional activities involving a student(s);
- d) Failure to comply with time and/or earnings thresholds requirements, as required by the Implementing Procedures and these Guidelines.

Corrective action may include the discontinuation of certain privileges available only to Plan Participants, including, but not limited to, the opportunity to earn and receive compensation above the academic year salary scale through the Plan.

Corrective actions may include:

- (a) Discontinuation of Incentive Compensation or other bonus compensation (the "Z") until the Plan Participant complies with the Regents' Plan provisions and the provisions of these Guidelines; and/or
- (b) Additional Compensation (the "Y") may be set with consideration of the Plan Participant's prior performance, including compliance with the requirements on outside professional activities, as defined in these Guidelines.

Whenever reductions in compensation are the result of corrective action or discipline, the Chair shall notify the Plan Participant in writing. Corrective action does not preclude sanctions or disciplinary measures in accordance with the Faculty Code of Conduct and Academic Senate Bylaws, nor does it preclude the possibility that a Plan Participant may be determined to be Not In Good

Standing for lack of compliance with University policy and/or reporting requirements. Violations by Plan Participants of either the time or earnings thresholds on outside professional activities represent an unauthorized use of University resources and/or retention of funds belonging to the University. Such violations are subject to discipline in accordance with the Faculty Code of Conduct and/or APM 150.

While reductions in compensation may be related to corrective action, such reductions may occur for other reasons, such as insufficiency of current year income or contingency reserves. Whenever there are planned reductions in compensation for a Plan Participant, the Chair shall provide the Plan Participant with written notice.

A reasonable amount of University resources may be used in support of activities to governmental agencies, non-profit health- or education-related organizations, continuing health education programs administered by the University, and/or University Extension, even if the income from these activities is retained by the individual Plan Participant.

### **3. Complaints and Appeals**

If a Plan Participant has a complaint about an issue related to outside professional activities, s/he should make every effort to resolve the complaint at the department level. If the complaint cannot be resolved through discussion and negotiation at this level, then the Plan Participant's complaint and the Chair's response shall be documented in writing by the Plan Participant and/or Chair. If the Plan Participant disagrees with the Chair's response, s/he may choose to file a formal complaint with the Dean. The Advisory Committee is charged with fact-finding. Both the Chair or his/her designee and the Plan Participant have the right to be heard by the Advisory Committee. The Advisory Committee shall issue a formal written recommendation for resolution of the complaint to the Dean. The Dean shall review the Advisory Committee's recommendation and make a final decision, with written notification to the Plan Participant, the Chair and the Vice Dean for Academic Affairs.

### **4. Grievance Rights**

Plan Participants who are Academic Senate members may pursue their grievance rights under the terms of Senate Bylaw 335. Non-Senate Plan Participants may request a hearing under the terms of APM - 140.

### **L. Conflict of Interest Code**

A Plan Participant's compensated outside activities may create an obligation for him/her to disclose a financial interest before making decisions or participating in certain activities. The University's Conflict of Interest Code, adopted pursuant to the requirements of the Political Reform Act of 1974, requires designated University employees to disqualify themselves from participating in University decisions in which they have a personal financial interest. Additional information about these requirements is available through the campus Office of Legal Affairs.

**M. The Policy on the Requirement to Submit Proposals and to Receive Awards for Grants and Contracts Through the University** was issued by the President on December 15, 1994 and applies to all faculty. This policy states that employees who receive any part of their salary through the University, or whose activities use any University resources or facilities, must submit their proposals for extramural support through the appropriate University contracts and grants office. This requirement ensures that all research and other extramurally-funded projects comply with relevant University policies and guidelines. An exception to this policy has been granted to UCSF VA faculty who are physically located at the VA and who use VA resources to perform the funded project.

## **Benefits**

### **N. Benefits Overview**

#### **1. Base Salary-Related Benefits**

Base salary-related benefits are associated with a Plan Participant's salary from one of the Health Sciences Salary Scales. These benefits include participation in the UCRP, health care benefits, disability benefits, regular term life coverage, and other benefits as may be approved by The Regents. Base salary-related benefits shall be made available to Plan Participants on the same basis as to all other members of the University faculty.

#### **2. Optional Benefits on Additional Compensation**

The Regents have authorized disability and life insurance benefit programs related to health sciences additional compensation beyond the base salary. These programs must be approved by the Office of Human Resources, Office of the President. Policies governing optional disability and life insurance programs on additional compensation are available from that office.

### 3. Paid Leave

A Plan Participant who is eligible for sabbatical leave, leave with salary, or extended illness leave shall be granted such leave and will be paid at a rate that is at least the Plan Participant's Health Sciences Scales Base Salary rate ( $X + X'$ ), as set forth in these Implementing Guidelines and detailed in the annual statement of proposed compensation. A Plan Participant who leaves University service or transfers from a vacation-accruing title to a non-accruing title shall be paid for accrued vacation at the Plan Participant's total negotiated salary rate at the time of separation.

With the exception of the two provisions below, or where explicitly stated in policy, Plan Participants are eligible for leaves as defined in APM - 710 - 760.

#### a) Extended Illness Leave

Extended illness is defined as a health condition resulting in absence for more than two weeks. Extended illness must be documented as a leave with pay on a Leave of Absence form.

Plan Participants do not accrue sick leave but may be approved for leaves with pay (i.e., "salary continuance") during periods of extended personal illness, injury or disability.

For Plan Participants hired on or before June 30, 1996, the department will provide 180 calendar days (six months) of the full negotiated salary rate that was in effect immediately prior to the leave ( $X' + Y$ , excluding any incentive compensation), every three years.

For Plan Participants hired after June 30, 1996, the department will provide 60 calendar days of the full negotiated salary that was in effect immediately prior to the leave ( $X' + Y$ , excluding any incentive compensation), every three years. Exceptions will be considered in circumstances where a Plan Participant presents evidence of denial of coverage or a denied request to shorten the waiting period of their disability coverage. Requests for exceptions to this extended illness leave should be addressed to the Chair. The department encourages all faculty to enroll in an employee-paid disability insurance plan.

Plan Participants who are unable to return to work after the period of extended illness supported by the department will need to rely on employee- and/or employer-paid plans (whether through the University or privately-funded) while

eligibility for disability benefits continues. Long-term disability insurance for the “Y” portion of salary is an employer-paid benefit that provides coverage to eligible faculty following a full year of full disability.

Plan Participants are strongly encouraged to review their individual insurance needs for extended illness/disability leave and to consult extended illness/disability policy documents for complete information about the University’s plan and the coverage provided.

A leave cannot be approved if it extends beyond the end date of the Plan Participant’s appointment. The clinical days missed that do not fall under extended illness leave must be made up in a timely manner.

#### **b) Childbearing Leave**

Childbearing leave is provided for a Plan Participant who holds a 12-month appointment and bears a child or children, regardless of academic series or months of service. The Plan Participant will be granted twelve (12) weeks (84 consecutive calendar days) of paid childbearing leave at their negotiated compensation rate ( $X' + Y$ ), excluding clinical incentives and bonuses. Childbearing leave is the time the Plan Participant is temporarily disabled because of pregnancy, childbirth or related medical conditions (APM 760-25). If the period of temporary disability related to pregnancy, childbirth or related medical conditions lasts less than 12 weeks, the remaining period of paid childbearing leave (for a leave in progress), may be used for bonding, up to the maximum period of 12 weeks (84 consecutive calendar days).

Paid childbearing leave will be allocated in one 12-week block (84 consecutive calendar days). At the direction of the Plan Participant’s health care provider, the childbearing leave may be allocated in intermittent periods, consistent with the provider’s medical recommendations and the Plan Participant’s eligibility for Family and Medical Leave (FML). If the Plan Participant cannot return after 12 weeks of childbearing leave and qualifies for additional leave on the basis of medical need, the period of childbearing leave may be followed by extended illness leave, and, if necessary, any disability benefits which may apply.

A Plan Participant who bears a child is also eligible for full or part-time parental leave without pay (APM 760-27) and a period of Active Service-Modified Duties (APM 760-28). At the Plan Participant’s request, accrued vacation shall be

substituted for unpaid parental leave. Parental leave must be taken within 12 months of the birth, adoption or placement of a child.

**c) Childrearing With Pay**

Childrearing leave is provided for a Plan Participant who holds a 12-month appointment and is the non-birth parent responsible for caring for any child or children who are, or become, a member of the Plan Participant's family. The Plan Participant will be granted paid childrearing leave of twelve (12) weeks (84 consecutive calendar days) at their negotiated compensation rate ( $X'+Y$ ), excluding clinical incentives and bonuses.

Paid childrearing leave will be allocated in two six-week blocks of continuous full-time or fixed part-time leave. The six-week blocks (42 consecutive days) may be taken consecutively or separately but must be used within 12 months of the birth, adoption, or placement of a child or children.

Plan Participants are also eligible for up to 12 months of full-time or part-time parental leave without pay. At the Plan Participant's request, accrued vacation shall be substituted for unpaid parental leave. Parental leave must be taken within 12 months of the birth, adoption or placement of a child.

**d) Parental Leave Without Pay**

Plan Participants are eligible for full-time or part-time parental leave without pay for up to 12 months to care for a child. At the Plan Participant's request, accrued vacation shall be substituted for unpaid parental leave. Parental leave without pay must be used within 12 months of birth or adoption.

**e) Other Paid Leave**

Paid leave at full salary ( $X+ X'+Y$ ) will be granted when a Plan Participant is unable to work because s/he must care for a spouse, domestic partner, child or parent who is ill. Paid leave under such circumstances shall be paid at full salary for a maximum of five days per Plan Participant per year. If eligible for family and medical leave in accordance with APM 715, the five-day paid leave will run concurrently with the family and medical leave.

**f) Bereavement Leave**

The Department provides ten (10) consecutive business days, per fiscal year, of paid bereavement leave [spouse or domestic partner, parent, grandparent, child, grandchild, sibling] at the Plan Participant's negotiated compensation rate (X' + Y). Faculty will not be required to make up the clinical time.

**g) Vacation Leave and Meeting Time**

Per APM 730, academic personnel, including Plan Participants, who are appointed on a fiscal-year basis accrue vacation at the rate of two working days per month for full-time service.

Vacation leave is subject to the following provisions:

- Regularly scheduled days off and University administrative holidays shall not be charged against vacation time.
- Periods of academic recess are not regarded as vacation (See APM - 720-4)
- Vacation shall not accrue during a leave of absence without salary.
- Vacation credit may accumulate to a maximum of 384 hours for full-time employees. The maximum accumulation for appointees working half-time or over is the same maximum number of hours as that of full-time employees.

Accrued vacation shall be used at a time or times in keeping with the program of work being conducted by the Plan Participant and approved by the supervisor, chair or his/her designee. If a Plan Participant is given written notice from the Chair, s/he will be required to use vacation accrued after the notice date and before the expiration of her/his University appointment or the expiration of the funding source(s) of her/his appointment.

A Plan Participant may not anticipate vacation, i.e., vacation is limited to the allowance that has been accrued by the date set for the Plan Participant's vacation except when authorized by the Chancellor for use during holiday closures.

Accrued vacation may be used for medical leave purposes (see APM -710, 715, and 760).

Records of vacation leave used shall only be recorded in one-day increments or in increments not less than that portion of a day during which a Plan Participant with less than a full-time appointment is normally scheduled to work.

A Plan Participant who leaves University service shall be paid for accrued vacation at his/her pay rate at the time of separation. A Plan Participant who transfers from a vacation-accruing title to a non-accruing title shall be paid for accrued vacation at the time of the transfer.

The department is required to maintain vacation use records of Plan Participants who accrue vacation leave. Unless specifically exempt from the HBS Timekeeping System, each Plan Participant must log into the HBS system on a monthly basis to certify her/his vacation time. Even if no leave is taken, each Plan Participant must log into the HBS system to indicate that no leave was used.

Faculty members accrue vacation leave at a rate of two days per month for full time service. For part-time faculty working 50% time or more, vacation and professional meeting time accumulates at a pro-rated rate. For part-time appointees working less than half time, there is no vacation or professional meeting time accrual.

Accrued vacation may be approved for use during periods of extended illness, disability, and childbearing/child rearing/approved family leaves. Faculty eligible to accrue vacation credit may accumulate a maximum of 48 working days (384 hours). Vacation days must be recorded in the electronic time-keeping system, HBS, and must be approved by the appropriate supervisor. A faculty member's current accrual may be verified via HBS. Terminal vacation leave is paid at a rate equal to the full salary in effect immediately prior to separation/retirement. Terminal vacation leave is allowed at retirement, and may not be used immediately prior to a non-retirement termination date.

Because of the difficulty in providing clinical coverage when faculty are away for extended periods, the Department of Radiology will limit the use of accrued vacation days to no more than 30 total vacation days in any academic year. All faculty in the same section may not be away at the same time. Only in exceptional circumstances, and following prior consultation with the Chair, will the use of more than 30 days of vacation in a single year be allowed. Coverage by faculty outside of the section may be allowed with prior approval of the Chair.

In addition to vacation leave, Plan Participants at Assistant Professor rank and higher in the Department of Radiology have 20 working days per year that may be used for professional meetings. Clinical Instructors will have 10 working days

of professional meeting/educational leave available each year. This professional meeting time for faculty is for presentation of papers, visiting professorships, attendance at Continuing Medical Education (CME) programs, and National Institutes of Health (NIH) site visits. These professional meeting days must be used within the fiscal year and are not carried over from year to year.

Professional meeting time is defined as any meeting where the Plan Participant is lecturing or presenting a paper. Attendance at national radiology meetings such as the RSNA and the Roentgen Ray Society is eligible for the use of professional leave time with or without paper presentation. Meetings exceeding five working days, including travel time, must be approved in advance by the Chair. If a single meeting lasts more than 5 working days, the additional time will be charged to vacation. This policy is in effect regardless of source of funding for the professional meeting.

Five additional days may be taken for services on governmental agencies and commissions. These additional days make a grand total of 25 meeting days per year maximum. Additional days must be approved by the Chair in advance. Plan Participants must submit a formal written request, with explanation of the academic service, to the Chair. If approved, 5 additional days will be granted for use within the current fiscal year. Section Chiefs are responsible for tracking all faculty professional meeting leaves, including any approved additional days for government service.

#### **h) Sabbatical Leave**

Sabbatical Leaves are a privilege accorded to eligible Ladder Rank Plan Participants to allow them to engage in periodic and intensive programs of research and study (see APM 740). During an approved sabbatical, the salary rate will at a minimum be equal to the Plan Participant's rate of covered compensation. Additional compensation may be granted from the same or similar sources as those providing negotiated compensation prior to the period of leave (i.e., Plan Participants may not accept salary directly from another institution while on sabbatical), but any salary above covered compensation shall be limited by the availability of extramural, clinical or other discretionary funds. Total salary during sabbatical leave from all sources may not exceed the Plan Participant's total salary prior to the leave. Plan Participants remain members of the Compensation Plan and subject to all of its requirements while on sabbatical leave, including, but not limited to, those pertaining to outside professional activity and income, intellectual property, and conflict of commitment.

The purpose of sabbatical leaves was established by the Regents of the University of California and is set forth in Section 103.4 of the Standing Orders of the Regents and as quoted in part below:

"Sabbatical leaves are granted to enable recipients to engage in intensive programs of research and/or study thus to become more effective teachers and scholars and to enhance their service to the University."

Only ladder rank faculty are eligible for "sabbatical leave." Other academic series faculty may request "professional development leave."

Sabbatical/professional development leaves are a privilege, which many of our faculty members have used and enjoyed over the years in an effort to broaden their skills, to write books, or conduct intensive research. Professional development leaves will only be granted to Plan Participants who are procuring skills in a second clinical specialty or have presented a compelling proposal for intensive research or novel teaching program. Sabbatical/professional development leave will only be approved for Plan Participants in good standing as defined by these implementing procedures.

#### **i) Professional Development Leave**

Plan Participants who are not eligible for sabbatical leave may apply for professional development leave. When it is financially feasible, the department may but is not required to approve professional development leaves for Plan Participants, applying roughly the same eligibility and salary rules that apply to sabbaticals. Such leaves will generally not be approved for more than six months' duration. During an approved professional development leave, the salary rate will at a minimum be equal to the Plan Participant's rate of covered compensation. Additional compensation may be granted from the same or similar sources as those providing negotiated compensation prior to the period of leave (i.e., faculty may not accept salary directly from another institution while on leave), but any salary above covered compensation shall be limited by the availability of extramural, clinical or other discretionary funds. Plan Participants remain members of the Compensation Plan and subject to all of its requirements while on professional development leave, including, but not limited to, those pertaining to outside professional activity and income, intellectual property, and conflict of commitment.

#### **Sabbatical/Professional Development Leave With Clinical Responsibilities:**

In-residence sabbaticals or professional development leaves in Radiology (fully paid) require the Plan Participant to spend one day per week during the

sabbatical/professional development leave on clinical duty. A plan Participant may work combined clinical days with prior approval by the Section Chief and by the Chair. All vacation leave accrued during sabbatical/professional development leave must be taken during the leave. This type of sabbatical/professional development leave may last up to six months. In exceptional circumstances, leaves of this type for more than six months may be approved by the Chair.

Plan Participants on an in-residence sabbatical/professional development leave for more than six months will receive only base salary appropriate to their rank, step, and APU assignment. This type of in-residence sabbatical/professional development leave in Radiology still requires the Plan Participant to spend one day per week on clinical duty. A Plan Participant may work combined clinical days with prior approval by the Section Chief and by the Chair. All vacation leave accrued during sabbatical/professional development leave must be taken during the leave.

Sections are responsible for providing coverage during a Plan Participants sabbatical/professional development leave. The Section Chief must concur in writing on the original application to the Chair.

**Sabbatical/Professional development Leave Without Clinical Responsibilities:**

Plan Participants on sabbatical/professional development leave without clinical responsibilities will receive base salary (1.6X or 1.4X, depending on APU) only; this type of salary may not last beyond six months. All vacation leave accrued during sabbatical/professional development leave must be taken during the leave. In exceptional circumstances, leaves of this type for more than six months may be approved by the Chair.

**Departmental Policy for the Sabbatical/Professional Development Leave Application Process:**

The application procedure requires the Plan Participant to complete the Department's Academic Leave Request form that explains the purpose of the leave. The completed form must be submitted to the Vice Chair of Academic Affairs (currently Christine Glastonbury, M.D.) of the Department of Radiology and Biomedical Imaging at least 9 months prior to the beginning date of the requested leave. The request will be reviewed by a committee of Department leaders, (currently the Department's Merits and Promotions Committee). Assuming that the plans approved by the Committee, it will be forwarded to the Department Chair for review and concurrence, prior to submission to the Vice Dean for Academic Affairs and the Office of the Vice Chancellor-Academic Affairs for final review and approval. All Plan Participants on

sabbatical/professional development leave must complete a mid-leave check in with an assigned faculty leader and submit a final progress report on the research program conducted during the leave within 90 calendar days following return from leave

#### **j) Other Leaves with Pay**

In accordance with the Academic Personnel Manual, leaves of absence with pay may occasionally be approved for good cause (for example, during military service or for brief periods of governmental service); salary during such leaves will in general be at the full negotiated rate.

#### **k) Leaves without Pay**

In addition to the types of leave described above, leaves of absence without pay for other good cause (e.g., for family care or other personal reasons) may be granted, subject to approval by the chair, Vice Dean for Academic Affairs, and Vice Provost for Academic Affairs. In general, such leaves may not exceed one year.

During such periods of leave, Plan Participants may not engage in compensated outside professional activities, and they shall remain members of the Compensation Plan and subject to all of its requirements included but not limited to those pertaining to outside professional activity and income, intellectual property and conflict of commitment.

Exceptions to this policy are granted only in extraordinary circumstances, or where other policy or formal agreements supersede Compensation Plan policy (for example, this might occur in cases of extended governmental service, for faculty placed on administrative leave, or for those on leave under the terms of a formal UCSF affiliation with an outside organization such as the Howard Hughes Medical Institute).

#### **l) Active Service Modified Duties (ASMD)**

Plan Participants who are appointed at 100% effort for at least a twelve-month period and have primary responsibility for the care of a child under age eighteen years, may request a period of Active Service Modified Duties (ASMD) at their negotiated compensation ( $X + Y$ ) during the period before and/or immediately following the birth, adoption, or placement of a child for foster care. ASMD requires approval by the Department Chair/ORU Director, the Vice Dean for Academic Affairs, and the VPAA.

Health Sciences Compensation Plan (HSCP) faculty members who are appointed at 100% effort for at least a twelve-month period are eligible for a total period of childrearing leave plus ASMD of up to one quarter (one quarter is equal to 13 weeks) for each event of birth or placement of a child for adoption or foster care. A Plan Participant who bears a child may be granted an additional two quarters (26 weeks) of active service modified duties to prepare for and/or care for the newborn child and to enable her to fully recover from the effects of pregnancy and childbirth, for a total period of childbearing leave plus active service modified duties of 3 quarters or 39 weeks.

The Plan Participant who requests a period of ASMD must confer with their division chief and/or Department Chair prior to the anticipated start date in order to reach agreement on the nature and scope of the Plan Participant's duties during the ASMD period. The Plan Participant's request must include a written statement that certifies that s/he is responsible for at least 50 percent of the care of a newborn child or a child under age eighteen years who was recently adopted or placed for foster care. In addition, the request will include a detailed description of the specific duties which would be modified, and the duration of the ASMD period.

A period of ASMD is not a leave of absence nor a reduction in effort. A Plan Participant who would like to request a reduction in effort would be governed by other policies related to family accommodations, including parental leave without pay (plan participants may use vacation accruals to compensate leave) or a reduction in effort to accommodate family needs under APM 760. Please contact the Academic HR Leave Specialist assigned to the Department (<https://hr.ucsf.edu/hr.php?function=hrrep>) or the Department/ORU Manager to discuss.

During an approved period of ASMD, the Plan Participant is on active service and is expected to perform some or all of her/his usual duties. Plan Participants with clinical responsibilities may request a modification in clinical duties and/or teaching responsibilities. Departments may accommodate ASMD requests by adjusting clinical schedules, teaching duties, conference attendance and/or faculty meeting attendance. When reviewing the Plan Participant's request, the division chief and/or Department Chair will take into consideration the clinical, teaching, and research needs of the department before determining whether to approve the request for ASMD.

After the division chief and/or Department Chair have reviewed and approved the Plan Participant's request, the request for ASMD is reviewed and approved

by the SOM Vice Dean for Academic Affairs and the Vice Provost for Academic Affairs.

## VI. ACCOUNTING AND BUDGETING METHODS

### A. Management and Reporting of Income and Expenses

All professional services income generated by Plan Participants shall be accounted for and reported as revenue of the University; the only exception to this requirement shall be income which the Plan Participant is allowed to retain, in accordance with these Implementing Guidelines.

All income owed the University must be deposited in accordance with University cash/check handling policies and procedures and recorded in the appropriate revenue account and a fund within the UCOP fund group 409140. For payments made directly to the individual Plan Participant and owed to the Plan, the check should be endorsed payable to the University and deposited in the same fund. A receipt for each such deposit should be provided to the Plan Participant.

All compensation paid by the University to Plan Participants is subject to Federal and State tax withholding and reported on a W-2 form as wages. All financial transactions shall be approved, documented, and otherwise processed or executed in accordance with University, campus and School of Medicine policies, procedures, and delegations of authority.

In accordance with the Plan, all professional fee billing and collection activities shall be conducted by a University billing group or by an external vendor which has been approved by which has been approved by the Vice Chancellor for Health Affairs and the UCSF Health Executive Director for Patient Financial Services.

### B. Assessment of Professional Fee Income

Assessments will be collected monthly and reflected on the semiannual section profit and loss statements. For outside professional income due the Plan, Dean's tax and departmental assessments are deducted prior to distributing the faculty member's share, in the proportions described above.

Outside Earnings Due the Plan	Dean's Tax	Faculty share	Department Share
\$1 - 50,000	4.3%	90%	5.7%
Over \$50,000	4.3%	70%	25.7%

### **C. Budgeting and Accounting**

All the funds and transactions associated with the Plan will be accounted for in accordance with the applicable sections of the University accounting manuals. The department shall develop and submit to the Dean an all funds consolidated budget/forecast at regular intervals as determined by the Dean's Office. Except where accumulated surpluses are being used to support an extensive growth phase, it is expected that revenue will always be adequate to support anticipated expenses. Departments/Units should clearly indicate the funding mechanism for all benefits provided under the provisions of the Plan.

Current Year expenditures shall be budgeted for and funded in the following order of priority:

- 1) Clinical practice operating expenses, defined as costs incurred by the department/unit for all related operating activities, including administrative overhead.
- 2) To the extent that funds remain after expenditures for clinical practice costs indicated in 1) above, compensation may be paid to eligible participants in the Plan. Base salary and related benefits, including any required contribution on behalf of UCRP-covered compensation, shall be funded before additional compensation.
- 3) To the extent that funds remain after the foregoing expenditures, benefits approved in accordance with the Regents' Plan may be paid. The department shall maintain a Reserve for Contingencies. These reserves will be used for such academic purposes as funding necessary renovation projects, recruitment expenses, or unfunded research expenses, and as a security for emergencies. In the event that the department has accumulated a surplus beyond that required to cover contingencies, it is expected that these funds will be used to enhance the department's academic program or to develop new programs as recommended by the Chair and approved by the Dean. Fund balances will be monitored quarterly by the Dean or his/her designee.