

UNIVERSITY OF CALIFORNIA, ACADEMIC SENATE

BERKELEY • DAVIS • IRVINE • LOS ANGELES • MERCED • RIVERSIDE • SAN DIEGO • SAN FRANCISCO



SANTA BARBARA • SANTA CRUZ

*Jim Chalfant*  
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*Chair of the Assembly of the Academic Senate  
Faculty Representative to the Regents  
University of California  
1111 Franklin Street, 12th Floor  
Oakland, California 94607-5200*

October 28, 2016

**SUSAN CARLSON, VICE PROVOST  
ACADEMIC PERSONNEL**

**Re: Proposed Technical Revisions to APM - 190, Appendix G**

Dear Susan:

As you requested, I distributed for systemwide Senate review proposed technical revisions to APM Section 190, Appendix G. Eight Academic Senate divisions (UCD, UCI, UCLA, UCM, UCR, UCSB, UCSD, and UCSC) and two systemwide committees (UCAP and UCPB) submitted comments. These comments were discussed at Academic Council's October 26, 2016 meeting.

Senate reviewers expressed no objections to the revisions. They understand that the changes are needed to change policy for administering summer salary benefits so that retirement contributions associated with summer salaries will begin going into the 403(b) Plan rather than the DC Plan (DCP), effective November 1.

Several reviewers did mention the need for clear communication from UCOP about summer salary benefits and the 2016 Tier, and to ensure faculty have enough information about the changes to understand the potential effect of different investment choices and options on their retirement income. Comments were also received concerning the number of fund choices, though of course this is unrelated to the proposed revision, and common to both the DCP and 403(b) plans. UCLA and UCI also requested clarification about the restriction that summer salaries from University Extension do not qualify for retirement contributions. The Senate is working to learn more and hopes to clarify these concerns.

Thank you for the opportunity to opine.

Sincerely,

A handwritten signature in blue ink that reads "Jim Chalfant".

Jim Chalfant, Chair  
Academic Council

Encl

Cc: Academic Council  
Policy Manager Lockwood  
Senate Director Baxter  
Senate Executive Directors



DAVIS DIVISION OF THE ACADEMIC SENATE  
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academicsenate.ucdavis.edu

October 20, 2016

**Jim Chalfant**

Chair, Systemwide Academic Senate

**RE:** Proposed Technical Revisions to APM – 190, Appendix G

Dear Jim,

The proposed revisions to APM – 190, Appendix G were forwarded to all standing committees of the Davis Division of the Academic Senate. Responses were received from the Committees on Academic Personnel Oversight (CAP) and Faculty Welfare. In addition, the UC Davis Academic Federation chose to opine.

The committees believe the changes to be reasonable in light of the 2016 retirement plan options.

The Davis Division supports the proposed revisions.

Sincerely,

A handwritten signature in cursive script that reads "Rachael E. Goodhue".

Rachael E. Goodhue

Chair, Davis Division of the Academic Senate

Professor and Chair, Agricultural and Resource Economics

Enclosed: Davis Division Response Report

c: Edwin M. Arevalo, Executive Director, Davis Division of the Academic Senate  
Hilary Baxter, Executive Director, Systemwide Academic Senate  
Michael LaBriola, Principal Policy Analyst, Systemwide Academic Senate

# **CAP Oversight Committee**

**October 5, 2016 1:58 PM**

The Committee on Academic Personnel (CAP) has studied and discussed the proposed revisions to APM 190 Appendix G, concerning the disposition of summer salary retirement benefits. CAP considers the revisions to be very reasonable, and in the best interests of the faculty. CAP does not anticipate any significant implications of the proposed revisions in the review of faculty dossiers for appointments, merit advancements, and promotions.

October 12, 2016

**RFC: Review of Proposed Technical Revisions for APM 190, Appendix G, Program Description:  
Retirement Contributions on Academic Appointee Summer Salary**

The committee on Faculty Welfare does not feel the change will cause any harm, and appears a pragmatic choice given the constraints arising from the creation of the 2016 retirement tier.

October 11, 2016

**RACHAEL GOODHUE**, Chair  
Davis Division of the Academic Senate

RE: Systemwide Review of Proposed Revisions to APM 190

Dear Chair Goodhue,

The Academic Federation Executive Council has discussed the proposed amendments and language clarifications for APM 190 on retirement contributions on Academic Appointee Summer Salary. Members of the Executive Council did not have any concerns or questions regarding the proposed revisions.

The Academic Federation appreciates the opportunity to review and provide feedback on these proposed revisions.

Respectfully submitted,

A handwritten signature in blue ink, appearing to read "Pat Randolph".

Pat Randolph, Chair  
Academic Federation

c: Edwin Arevalo, Executive Director, Academic Senate



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October 20, 2016

Jim Chalfant, Academic Council  
1111 Franklin Street, 12<sup>th</sup> Floor  
Oakland, CA 94607-5200

**RE: Systemwide Senate Review-APM 190, Appendix G, Program Description: Retirement Contributions on Academic Appointee Summer Salary**

Dear Jim,

At its meeting of October 18, 2016, the Irvine Division Senate Cabinet reviewed the proposed revisions to APM 190. The Council on Faculty Welfare, and the Council on Planning and Budget initially reviewed the proposed revisions and identified no concerns with the proposed revisions. The cabinet's review of the proposed revisions also yielded no concerns.

The Irvine Division appreciates the opportunity to comment.

Sincerely,

A handwritten signature in cursive script that reads "Bill Parker".

Bill Parker  
Irvine Division Senate Chair

C: Hilary Baxter, Executive Director, Academic Senate  
Natalie Schonfeld, Executive Director, Academic Senate, Irvine Division



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October 24, 2016

Jim Chalfant, Academic Council  
1111 Franklin Street, 12<sup>th</sup> Floor  
Oakland, CA 94607-5200

**RE: APM 190 review process and content issues**

Dear Jim,

During the Irvine Division's Senate Cabinet discussion of the proposed revisions to APM, there were three issues that I wanted to raise on behalf of the Irvine Division:

1-The Senate review period for the review of APM 190 modifications was shortened to a 45-day period. The Irvine Division hopes that this reduction in the time frame for review does not set a precedent for future Senate reviews.

2-The Irvine Division expressed concern in the limited and shrinking investment choices in the UC's 403(b) plan.

3-The Irvine Division discussed the exclusion of University Extension payments from eligible summer salary retirement contributions. This raised concerns as the majority of summer teaching at UC Irvine is offered through university extension, with the summer course offerings matching those offered during the academic year. APM 190-Appendix G does identify income from summer teaching as eligible summer salary for the purpose of both employer and employee pretax contributions to the Tax-Deferred 403 (b). As a result, the Irvine Division would encourage a review and revision of to that exclusionary language in APM 190 to eliminate this apparent inconsistency.

The Irvine Division appreciates the opportunity to communicate these concerns with the UC Academic Senate leadership.

Sincerely,

A handwritten signature in cursive script that reads "Bill Parker".

Bill Parker  
Irvine Division Senate Chair

C: Hilary Baxter, Executive Director, Academic Senate  
Natalie Schonfeld, Executive Director, Academic Senate, Irvine Division

October 20, 2016

Jim Chalfant  
Chair, Academic Council

**RE: Systemwide Senate Review: Proposed Technical Revisions to APM - 190, Appendix G**

Dear Jim,

The Executive Board of the UCLA Academic Senate discussed the proposed revisions to Academic Personnel Manual (APM) Sections 190, Appendix G, at its meeting on October 20, 2016. The Executive Board solicited comments from the standing committees of the Senate, as well as the Faculty Executive Committees, to maximize faculty feedback; the individual responses from our various committees are available [online](#).

Executive Board Members expressed the need to clarify the language on page 2, "Payments from University Extension are excluded." It is unclear what types of payments are excluded. In addition, the Council on Planning and Budget (CPB) also stressed the need for more clarity in the instructions. Please refer to [CPB's letter](#), which also requests "further justification on the present instruments, additional clarity on how the individual is supposed to make financial decisions;"

The Executive Board appreciates the opportunity to opine and has no additional suggestions.

Please feel free to contact me should have any questions.

Sincerely,



Chair, UCLA Academic Senate

cc: Hilary Baxter, Executive Director, Systemwide Academic Senate  
Leo Estrada, Immediate Past Chair, UCLA Academic Senate  
Sandra Graham, Vice Chair/Chair-Elect, UCLA Academic Senate  
Michael LaBriola, Principal Policy Analyst, Systemwide Academic Senate  
Linda Mohr, Chief Administrative Officer, UCLA Academic Senate  
Shane White, Vice Chair, Academic Council



# UNIVERSITY OF CALIFORNIA, MERCED

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**October 17, 2016**

**JIM CHALFANT, CHAIR, ACADEMIC COUNCIL**

**Re: Technical Revisions to APM 190 Appendix G**

The proposed technical revisions to APM Section 190 Appendix G were distributed to the standing committees of the Merced Division of the Academic Senate and the school executive committees. Committees appreciated the opportunity to opine but had no comment.

We thank you for the opportunity to opine.

Sincerely,

Susan Amussen, Chair  
Division Council

CC: Divisional Council  
Hilary Baxter, Executive Director, Systemwide Academic Senate  
Laura Martin, Executive Director, Merced Senate Office



CHAIR, ACADEMIC SENATE  
RIVERSIDE DIVISION  
UNIVERSITY OFFICE BUILDING, RM 225

DYLAN RODRIGUEZ  
PROFESSOR OF ETHNIC STUDIES  
RIVERSIDE, CA 92521-0217  
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October 12, 2016

Jim Chalfant, Chair, Academic Council  
1111 Franklin Street, 12th Floor  
Oakland, CA 94607-5200

**RE: Proposed Technical Revisions to APM Section 190, Appendix G**

Dear Jim,

I write to report on the UCR Academic Senate's review of proposed technical revisions to APM Section 190, Appendix G, Retirement Contributions on Academic Appointee Summer Salary.

Five Senate committees were consulted: CAP, Faculty Welfare, Planning and Budget, CODEO, and Rules and Jurisdiction. Of these five, three responded (CAP, P&B, and R&J). CAP chose not to opine, finding that the matter was outside its charge. The other two committees supported the revision, although it should be mentioned that P&B did express concern about "recent large changes to... retirement benefits." The two remaining committees did not offer an official response.

The UCR Division of the Senate supports the proposed revisions.

Sincerely yours,

A handwritten signature in black ink, appearing to read "Dylan Rodriguez".

Dylan Rodriguez  
Professor of Ethnic Studies and Chair of the Riverside Division

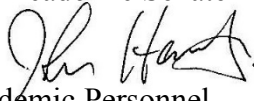
CC: Hilary Baxter, Executive Director of the Academic Senate  
Cherysa Cortez, Executive Director of UCR Academic Senate Office



**COMMITTEE ON ACADEMIC PERSONNEL**

September 26, 2016

To: Dylan Rodriguez  
Riverside Division Academic Senate

From: John Heraty, Chair   
Committee on Academic Personnel

Re: Proposed Technical Revisions to APM – 190, Appendix G

The Committee on Academic Personnel considered the proposed revisions to APM – 190, Appendix G – Retirement Contributions on Academic Appointee Summer Salary to fall outside its charge and has chosen not to opine.



**Committee on Planning & Budget**

September 28, 2016

To: Dylan Rodriguez  
Chair, Riverside Division Academic Senate

Fr: Christian Shelton   
Chair, Committee on Planning and Budget


Re: Systemwide Review of Proposed Technical Revisions to APM - 190

On September 27, 2016, the Committee on Planning and Budget (CPB) reviewed and discussed the proposed revisions to APM - 190, Appendix G - Retirement Contributions on Academic Appointee Summer Salary. While the Committee remains concerned about recent large changes to the retirement benefits, these changes appear reasonable. The Committee is in support by a vote of +6-0-0.

**UC RIVERSIDE** UNIVERSITY OF CALIFORNIA | **Academic  
Senate**  
**COMMITTEE ON RULES AND JURISDICTION**

September 23, 2016

To: Dylan Rodríguez, Chair  
Riverside Division

From: Kambiz Vafai   
Chair, Committee on Rules and Jurisdiction

Re: Review of [Systemwide Review] APM Revision: Proposed Technical  
Revisions to APM - 190, Appendix G

The Committee on Rules and Jurisdiction reviewed the proposed change to Systemwide Review APM Revision: Proposed Technical Revisions to APM - 190, Appendix G and found the wording to be consistent with the code of the Academic Senate.

 UNIVERSITY OF CALIFORNIA  
**UC RIVERSIDE** | *Academic  
Senate*  
**COMMITTEE ON FACULTY WELFARE**

September 29, 2016

To: Jose Wudka  
Riverside Division Academic Senate

From: Victor Lippit, Chair  
Committee on Faculty Welfare

Re: **Proposed Technical Revisions to APM - 190, Appendix G**

The Committee on Faculty Welfare did not have a chance to convene as this request came early in the academic year. Although no consensus position was developed regarding the proposed modification to APM 190 – Appendix G, the Committee would like to offer the following suggestions raised by members who responded to the circulation of the proposal.

The change as described is largely driven by IRS issues and it does not yield any adverse consequences on our faculty. However, assuming our faculty will read about this change, some thought should be given to presenting some concrete examples on how the changes might affect faculty. Several examples such as: "Consider a professor hired in 2004. Here is how the change affects this person." These examples could help faculty understand the change quickly because they could probably identify themselves in one of the examples.

**Academic Senate  
Santa Barbara Division**

October 19, 2016

To: James Chalfant, Chair  
UC Academic Senate

From: Henning Bohn, Chair  
Santa Barbara Division 

Re: Proposed Revised Academic Personnel Manual (APM) Section 190, Appendix G:  
Retirement Contributions on Academic Appointee Summer Salary

The Santa Barbara Division distributed the proposed revisions broadly and invited comments from a wide-range of councils and committees. The following groups responded that they did not wish to opine: Committee on Academic Personnel; Committee on Diversity and Equity; Council on Research and Instructional Resources; Undergraduate Council; and the Faculty Executive Committees of the College of Letters and Science, Bren School of Environmental Science and Management, and Gevirtz Graduate School of Education.

The Council on Faculty Issues and Awards (CFIA) had no substantive concerns, but agreed that the wording of the Program changes is confusing, suggesting that more clarity would be helpful for faculty to understand the affects and how the changes will work - perhaps a non-technical statement/section on how the IRS limits had bearing on the change to the 403(b) plan, keeping in mind faculty who are hired before July 1, 2016. The Committee on Rules, Jurisdiction & Elections recommended the inclusion of very specific language as to whether the amendments would affect all employees (i.e., before and after the 2016 tier) or only the 2016 tier.

Graduate Council expressed some discomfort regarding the short turnaround time for Academic Senate review and the limited justification and supporting documentation that accompanied the proposal. Furthermore, in the wake of the UCRP 2016 Tier implementation, members wondered whether there are any other forthcoming adjustments that will impact academic appointees under the preceding retirement plans.

The Council on Planning & Budget raised no concerns about the proposed revisions to APM – 190, Appendix G, but wished to reiterate the reservations about the changes to the retirement system for new hires that were voiced last year.

Cc: Hilary Baxter, Executive Director, UC Academic Senate



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October 20, 2016

James Chalfant, Chair  
Academic Council

**Re: Systemwide Review of Proposed Revised Academic Personnel Manual (APM) Section 190, Appendix G, Program Description: Retirement Contributions on Academic Appointee Summer Salary**

Dear Jim,

The UC Santa Cruz Division has reviewed and discussed the proposed revisions to APM Section 190 Appendix G. Our Committees on Academic Personnel (CAP), Faculty Welfare (CFW), Planning and Budget (CPB), and Affirmative Action and Diversity (CAAD) have responded. Although the review documents did not clearly present the historical context of the summer salary retirement contributions, the Santa Cruz Division has no issues of concern with what appears to be an innocuous change to align policy for administering summer salary benefits with the new 2016 Retirement Choice Program provisions. The division assumes that the Office of the President has thoroughly researched the possible effects that this proposed change may have on those receiving summer salary.

The review documents for the proposed revised policy appear to assume that faculty members currently under the 1976 and 2013 retirement tiers know where their Summer Salary Benefits (SSB) currently go. It takes a very close reading to discern that the SSB has been going into a Defined Contribution (DC) Plan since 2001. The key point of confusion for readers was how the DC plan operated prior to the creation of the new 2016 tier. The Division notes that the lack of clarity in the review documents may make it difficult for reviewing bodies to evaluate and make an informed decision about the proposed technical changes.

Further, the Santa Cruz Division trusts that the Office of the President (UCOP) has undertaken its own research to ensure that the proposed changes will not have a negative effect on faculty, particularly with regards to faculty diversity and equity. Anecdotal evidence from reviewers on our campus recognized that faculty are more likely to teach summer classes when they face financial hardship, such as care of dependent children or other family. Such hardship is not shared equally by all faculty, but rather is related to the family composition and socio-economic status of particular family members. We assume that UCOP has established that any change made to the SSB will not reduce payments to or otherwise negatively affect this group of faculty, which could have diversity and equity impacts.

Sincerely,



Ólöf Einarsdóttir, Chair  
Academic Senate  
Santa Cruz Division

cc: Carla Freccero, Chair, Committee on Academic Personnel  
Stefano Profumo, Chair, Committee on Faculty Welfare  
Abel Rodriguez, Chair, Committee on Planning and Budget  
Miriam Greenberg, Chair, Committee on Affirmative Action and Diversity



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October 20, 2016

Professor Jim Chalfant  
Chair, Academic Senate  
University of California  
1111 Franklin Street, 12<sup>th</sup> Floor  
Oakland, California 94607-5200

SUBJECT: Proposed Revisions to APM 190, Appendix G

Dear Jim:

The San Diego Divisional Senate Council discussed the proposed revisions to APM 190, Appendix G, Program Description: Retirement Contributions on Academic Appointee Summer Salary at its meeting on October 17, 2016. The San Diego Divisional Senate Council has no objections to the proposed revisions.

Sincerely,

A handwritten signature in cursive script, appearing to read "Kaustuv Roy".

Kaustuv Roy, Chair  
Academic Senate, San Diego Division

cc: F. Ackerman  
H. Baxter  
R. Rodriguez



UNIVERSITY COMMITTEE ON ACADEMIC PERSONNEL (UCAP)  
Fanis Tsoulouhas, Chair  
ftsoulouhas@ucmerced.edu

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October 12, 2016

JIM CHALFANT, CHAIR  
ACADEMIC COUNCIL

**RE: PROPOSED TECHNICAL REVISIONS TO APM SECTION 190 APPENDIX G.**

Dear Jim,

UCAP has reviewed the proposed technical revisions to APM 190 Appendix G and approves of the changes. Specifically, the committee finds that the revision to include summer compensation in retirement compensation is reasonable and fair.

Sincerely,

A handwritten signature in cursive script, reading "Tsoulouhas", with the first letter "T" being significantly larger and more prominent. The signature is written in a dark ink on a light-colored background.

Fanis Tsoulouhas, Chair  
UCAP



UNIVERSITY COMMITTEE ON PLANNING AND BUDGET (UCPB)  
Bernard Sadoulet, Chair  
[sadoulet@berkeley.edu](mailto:sadoulet@berkeley.edu)

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October 20, 2016

**JIM CHALFANT, CHAIR  
ACADEMIC COUNCIL**

**RE: Proposed revisions to APM 190, Appendix G (Retirement contributions on academic appointee summer salary)**

Dear Jim,

The University Committee on Planning and Budget (UCPB) has reviewed the proposed revisions to APM 190 (retirement contributions on academic appointee summer salary) and finds them reasonable. Recent changes to the University of California Retirement System have necessitated these changes so that new hires are not disadvantaged by tax laws and contribution limits to voluntary defined contribution programs, should they elect the “savings” choice. As retirement finance issues are complex and critical, we encourage you to work closely with Human Resources to ensure that messaging on this issue is clear and concise.

Sincerely,

A handwritten signature in black ink, appearing to read "Bernard Sadoulet".

Bernard Sadoulet, Chair  
UCPB

cc: UCPB  
Hilary Baxter, Executive Director, Systemwide Academic Senate