



UC Berkeley Separates from the Pack

Since 2003, UC Berkeley has been planning a new and separate salary strategy that will enhance its ability to compete with a select set of private universities to recruit and retain faculty. Berkeley also wants to manage decoupled (market) salary increments in a more transparent and equitable way. The impetus behind changing the current salary system came from the Berkeley Chancellor in 2003 and was supported by the EVC-Provost. Two Task Forces were formed, one that met in 2003-4 and formulated some initial recommendations and a second one that met in 2004-5 and revised some of those recommendations. To see these Task Force reports go to the EVC-Provost's link on the Berkeley website at <http://evcp.chance.berkeley.edu> and look under "reports." (All of the charts and tables in this newsletter are taken from these reports except the info about UCLA in Table 3.) The policies recommended by the Berkeley Task Forces are designed to help the campus offer faculty salaries that are competitive with actual peer institutions; to retain Berkeley's system of central campus and faculty review of all academic personnel actions; and to provide realistic cost and funding parameters. In order to achieve these goals, three policies in particular will set Berkeley apart from the other UCs: a new set of comparison institutions; a new salary scale; and off-scale salary increments not affected by general range increases.

1. New Set of Comparison Institutions for Berkeley

Which institutions are actually Berkeley's peers? Between 2000-04, about 75% of the external offers that came to 183 tenured faculty at Berkeley came from private universities. Of these, 55% came from just ten institutions, which, in the order of the number of offers to Berkeley faculty, include Harvard, Yale, Caltech, MIT, and Cornell. These ten institutions accounted for 82% of the 38 tenured faculty who

decided to leave Berkeley. The new salary proposals for Berkeley identify 6 of these universities as their comparison institutions: Harvard, Yale, Princeton, Stanford, MIT, and Caltech.

Using 2002-3 salary data from these comparison institutions, the salary gap with Berkeley is 16.9% for full professors, 19.3% for associates, and 11.7% for assistants. The salary gap grew in 2004-5 to 21.7% for both full and associate professors and 12.3% for assistants. Little in Berkeley's salary analysis would change if the peer group were defined more broadly. If one were to survey 24 of the highest ranking institutions, all private except for UCLA, in AAUP's faculty survey for 2002-3, they all paid higher average salaries for full profs. than Berkeley.

2. New Berkeley Salary Scale

When assistant professors are promoted to tenure at Berkeley's six comparison institutions, the salary increase is significant, and Berkeley wants to follow this model. The Task Force wants to implement a promotion increase equal to approximately 10% of the step salary at the time of promotion (about \$6,000) to associate professor. This promotion increment, whether the 10% or a step, will be a part of the base salary and rise with general range adjustments. For a comparison of the Berkeley Salary Scale and the current UC scale for professors in most disciplines on the academic year, see Table 1.

Continued on the next page

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Adding a salary increment to faculty newly promoted to associate professor presents an equity issue with faculty who were promoted to associate professor one or more years earlier. One approach is to grant the promotion increment immediately to all associates who have been in rank no more than 5 years and to all other associates when they are promoted to full professor. If the promotion were eventually given to all tenured faculty, the cost would be about \$7.2 million

Table 1
Proposed Berkeley Salary Scale 2002-03, academic year

UC Salary Scale			Proposed Berkeley Salary Scale				
	step	Salary at step	promotion increment		step	Salary at step	promotion increment
Assistant Professor	1	46300		Assistant Professor	1	46300	
	2	48900	\$2600		2	48900	2600
	3	51700	2800		3	51700	2800
	4	54600	2900		4	54600	2900
	5	57300	2700		5	57300	2700
	6	60100	2800		6	60100	2800
Associate Professor	1	57400	-2,700	Associate Professor	1	63400	3,300
	2	60200	2800		2	66200	2800
	3	63500	3300		3	69500	3300
	4	67400	3900		4	73400	3900
	5	72600	5200		5	78600	5200
Professor	1	67500	-5,100	Professor	1	73500	-5,100
	2	72700	5200		2	78700	5200
	3	78600	5900		3	84600	5900
	4	85300	6700		4	91300	6700
	5	92600	7300		5	98600	7300
	6	100400	7800		6	106400	7800
	7	109100	8700		7	115100	8700
	8	118100	9000		8	124100	9000
	9	128300	10200		9	134300	10200

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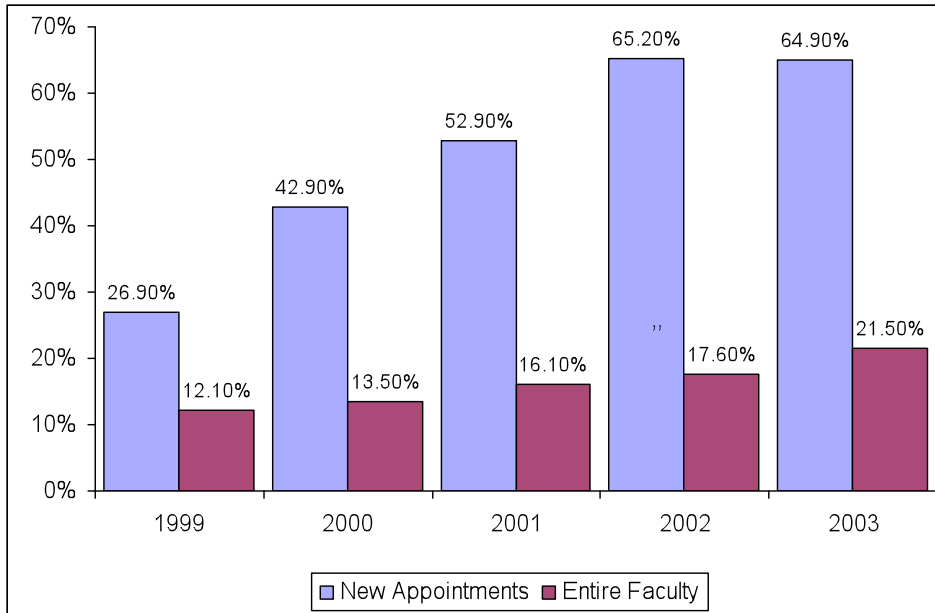
Numbers in bold represent the normal trajectory of promotion to tenure, from assistant, step 4 to associate, step 1 and from associate, step 3 to full professor, step 1. The higher steps at assistant and associate ranks are primarily used for faculty progressing at a lower than normal rate. A faculty member progressing normally on the UC scale and gaining tenure would realize an increase in salary of \$2,800 (\$54,600 to \$57,400), whereas someone on the proposed Berkeley salary scale would realize an increase in salary of \$8,800 (\$54,600 to \$63,400), or roughly \$6,000 more.

3. "Decoupled" Salary Increments

The Berkeley Task Forces were aware of the increasing use of off-scale increments to recruit and retain faculty. Chart 1 shows that off-scale increments to new appointments at Berkeley have increased dramatically over the past 5 years, although slowing somewhat in 2003-4; the percentage of the entire faculty holding off-scale increments is also increasing. On the Berkeley campus, the term "decoupled" means, , paying a salary that is about 5% higher than the step system would otherwise indicate in order to meet market conditions. Decoupled salaries are paid to newly recruited faculty at the time of appointment and to retained faculty at the time they receive a written offer from one of Berkeley's competing institutions.

The award of decoupled increments and the amount vary by discipline (see Table 2). On the one hand, in 2001-2 at Berkeley, all Haas business school appointments included decoupling (avg. amt. \$60,000). Market increments in the Social Sciences were given to 86% of new appointments (avg. amt. \$25,100). The 88% increases given to new hires in physical & biological science and chemistry averaged \$22,800. About 34% of new humanities appointments received market increments averaging about \$11,600. On the other hand, none of the 7 new appointments in public health, social welfare, environmental design, education, or law required decoupled increments.

Chart 1
Off-Scale Faculty Salaries at Berkeley 1999-2003



To award decoupled increments in a systematic, transparent way, Berkeley needs nationwide salary data that is discipline specific. AAUP data published in *Academe* provides average salaries for institutions nationwide by rank (excluding clinical and pre-clinical programs at medical schools) but not by discipline. The MIT salary surveys (which have recently stopped publication) collected salary and FTE data for selected disciplines in order to compare with MIT departments. The universities included in the MIT salary survey in addition to Berkeley's Comparison 6 are Columbia, Illinois, Michigan (in prior years, now replaced by Purdue), North Carolina, Texas, Wisconsin, UC Berkeley, UCLA, and UC San Diego. Data collected includes salaries (minimum, maximum, mean), by rank, faculty headcount by rank and discipline, and average age by rank and discipline. Table 2 shows MIT Faculty Salary Survey Data for 2002-03 at the rank of full-professor, with fields arranged in ascending order of UC Berkeley salaries.

According to the proposed Berkeley salary scheme, market increments, whether for new hires or for retention, would not be subject to range adjustments. Currently market increments at all the UC campuses are included in range advances, which contributes to the lack of resources to offer range increases to all faculty, especially those on-scale. When there are no range increases and only market increments (off-scale increases), the result is often low morale and a sense of inequity among on-scale faculty. With no range adjustments, salary increases come only in the form of merits and promotions.

The Berkeley Task Forces recommend that the evaluation and award of decoupled market increments be transparent and documented in order to avoid an atmosphere of deal-making between chair and faculty member or dean and faculty member. For example, there are examples of such deal-making at UCLA in which chairs have argued for

off-scale salary increases for individual faculty based on the salary lag determined by CPEC (California Post Secondary Education Commission in Sacramento which calculates the amount UC salaries need to be raised to maintain their midpoint position between 4 private institutions and 4 public institutions). With little or no hope that all faculty would receive a range increase in the amount of the CPEC salary lag, some chairs have argued that faculty member "x" deserved an increase of 12.7% because that is the CPEC salary lag for 2004-5. Such a practice shows the highly individualized way that chairs at all UC campuses are trying to address issues of faculty salaries.

Table 2
MIT SALARY SURVEY

	Average Salary (000)			Percentage		Percentage Change	
	Private	UC Berkeley	Public	UCB/Private	UCB/Public	1998-99 UCB/Private	2002-03
Architecture	118.3	102.1	86.2	86.31	118.45	91.21	-4.9
History	127.3	108.6	101.4	85.31	107.1	93.38	-8.07
Foreign Lang & Lit	115.3	109.1	85.6	94.62	127.45	99.63	-5.01
Civil Eng	115.6	109.4	106.5	94.64	102.72	102.72	-8.08
Mech. Eng	121.4	109.6	111.3	90.28	98.47	97.34	-7.06
Music & Theater Arts	117.4	112.3	87.1	95.66	128.93	93.28	2.38
Political Science	137.4	112.9	113.5	82.17	99.47	87.58	-5.41
English	127.1	114.0	92.0	89.69	123.91	98.01	-8.32
Linguistics	113.2	114.2	98.6	100.88	115.82	109.34	-8.46
EECS	126.4	114.6	115.9	90.66	98.88	100.16	-9.5
Biology	125.7	118.1	98.2	93.95	120.26	95.37	-1.42
Earth & Ill Sci	119.4	118.8	97.5	99.5	121.85	105.02	-5.52
Mathematics	133.5	118.9	103.9	89.06	114.44	93.39	-4.33
Urban Studies	118.7	119.4	94.2	100.59	126.75	96.62	3.97
Anthropology	117.7	121.6	93.1	103.31	130.61	106.21	-2.9
Nuclear Eng	126.7	122.8	120.5	96.92	101.91	102.64	-5.72
Physics	130.3	123.9	104.3	95.09	118.79	99.8	-4.71
Materials Science	115.2	125.1	118.7	108.59	105.39	101.3	7.29
Chem. Eng	129.0	129.0	120.7	100.0	106.88	107.48	-7.48
Philosophy	130.1	129.9	94.6	99.85	137.32	102.56	-2.71
Chemistry	135.2	130.8	11.3	96.75	117.52	101.78	-5.03
Economics	163.0	141.5	130.5	86.81	108.43	90.18	-3.37
Business Admin	187.8	149.7	140.7	79.71	106.4	81.24	-1.53

The new salary scheme at Berkeley attempts to clarify the conditions under which any off-scale increases can be awarded. Faculty who hold market salary increments would be subject to periodic review so that academic committees could determine whether that faculty member should retain a decoupled increase or eventually revert back to scale. The major opportunities for review would be at the step of promotion to associate, step 1, to full professor, step 1, and advancement to professor, step 6. In addition, when warranted by evolving market conditions, market increments may be introduced at other promotion and advancement reviews. These reviews would be occasions to recalibrate the "market increment" to current market conditions as revealed by salary survey data.

4 Deconstructing Faculty Salaries

The Berkeley Task Force wanted to estimate cost figures for some faculty salary budget items that are not readily available on most campuses, like the cost of off-scale increments, so that they could estimate the cost to bring Berkeley salaries up to their comparison 6 level. To do this, they collected data from AAUP annual salary surveys published in *Academe* and the UC salary scales for the corresponding years. The actual UC payroll data from AAUP surveys includes law, business and engineering salaries, which have slightly higher salary scales, as well as academic professor series in L&S, which has a somewhat lower salary scale. The UC salary scale is taken from the

professor series, L&S, academic year; therefore, the UC salary scale data will be slightly lower than would have been the case if they had combined all relevant UC salary scales (in particular, law, business & engineering, and L&S). The Task Force members determined an average UC salary for each year and multiplied it times the FTE to estimate the actual total UC payroll for an academic year. Then they determined an average UC scale salary and multiplied those amounts by the corresponding FTE for that year to produce an estimated total scale salary, including range adjustments and the regular merits, promotions and above-scale captured in the UC scale. The difference between actual payroll figures based on UC payroll data and the UC scale salary figures was roughly the amount paid for off-scale increments. Table 3 presents this salary information for Berkeley and UCLA.

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The difference between the actual payroll data for faculty at UC Berkeley in 2003-4 (\$153,100,000) and the base payroll using UC step salary levels (\$123,696,000) is \$29,404,000. This amount is a rough estimate of what was paid in off-scale salaries, which divided by FTE of 1440, offers an approximate amount off-scale per FTE. The estimated off-scale amounts per FTE rise from \$8,357 in 1998 to \$20,419 five years later in 2003.

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Table 3
OVERALL COST OF FACULTY SALARIES 1998-2003

Berkeley

Year	FTE	UC Average Salary	UC Total Payroll (from AAUP)	UC Step Sal Average	UC range	UC Step Sal total payroll	est. off-scale amt per FTE
	(AAUP)				Incr.		
1998-99	1382	\$89,001	\$123,000,000	\$80,644		\$111,450,008	\$8,357
1999-00	1393	\$94,185	\$131,200,000	\$82,983	2.90%	\$115,595,319	\$11,202
2000-01	1400	\$97,143	\$136,000,000	\$85,472	3.00%	\$119,660,800	\$11,671
2001-02	1426	\$103,436	\$147,500,000	\$85,900	0.50%	\$122,493,400	\$17,536
2002-3	1433	\$104,676	\$149,900,000	\$85,900		\$123,094,700	\$18,706
2003-04	1440	\$106,320	\$153,100,000	\$85,900		\$123,696,000	\$20,419
av increase	0.83%	3.64%	4.51%		1.28%		

UCLA

Year	FTE	UC Average Salary	UC Total Payroll (from AAUP)	UC Step Sal Average	UC range	UC Step Sal total payroll	est. off-scale amt per FTE
	(AAUP)				Incr.		
1998-99	1507	\$84,069	\$126,691,983	\$80,932		\$121,964,524	\$3,137
1999-00	1563	\$88,509	\$138,339,567	\$83,279	2.90%	\$130,165,121	\$5,230
2000-01	1611	\$94,712	\$152,581,032	\$85,777	3.00%	\$138,187,390	\$8,935
2001-02	1680	\$96,849	\$162,706,320	\$86,206	0.50%	\$144,826,560	\$10,643
2002-3	1696	\$98,617	\$167,254,432	\$86,206		\$146,205,861	\$12,411
2003-04	1711	\$102,125	\$174,735,875	\$86,206		\$147,498,955	\$15,919
av increase	2.58%	3.98%	6.68%		1.28%		

In 2003-4, the difference between the actual payroll for faculty at UCLA (\$174,735,875) and the projected base payroll using UC step salary levels (\$147,498,955) is \$27,236,920. At UCLA the five year rise in off-scale amounts per FTE goes from \$3,137 in 1998 to \$15,919 in 2003, roughly a fivefold increase.

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Actual salaries at Berkeley have increased by about 4.5% per year on average over the last six years. Much of that growth is at the higher income professor level, because the average all-ranks increase is 3.64%. The average salaries of Berkeley's new peer institutions have risen at the rate of 4.9%. And for Berkeley on-scale faculty, the annual increase exclusive of merits and promotions would be 1.28%, the average of the range increases over 5 years.

Actual salaries at UCLA have risen an average of 6.68%. Much of that growth is also at higher income professor levels, because the average all-ranks increase at UCLA is 3.98%. In recent years, for example, in 2004-5, the actual

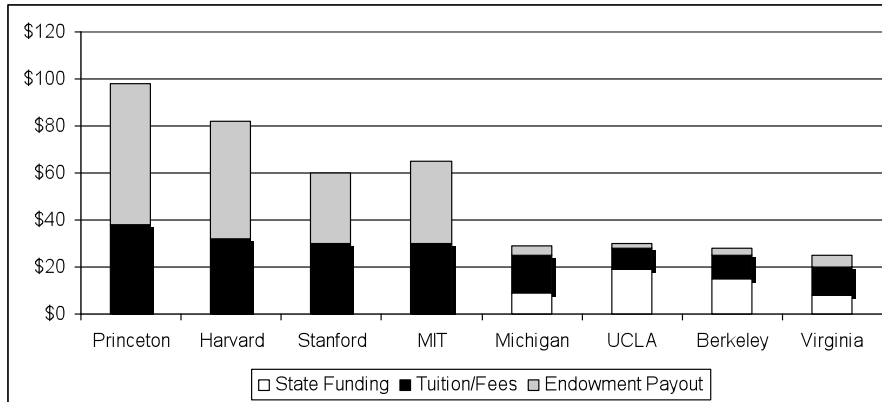
total amount for faculty payroll has declined as have the number of FTE at both Berkeley and UCLA. For the Berkeley Task Force, these facts speak for themselves. Other priorities are taking away funding from the core enterprise, and unless they act to oppose that trend, Berkeley's reputation will fall.

5 Some Funding Issues

Although Berkeley has identified six private institutions as their comparison universities, the Task Force committees at Berkeley were aware of Berkeley's status as a public university attempting to compete with heavily endowed privates. Chart 2 shows the source of funding per student of 4 of Berkeley's new comparison universities and 3 of the public universities which are included in the CPEC Comparison 8 for UC. A comparison of the amount of state funding, tuition/fees, and estimated endowment payout per student at these institutions shows that California has a slightly higher level of support of higher education on a per student basis than the comparison public universities. Despite the slightly higher level of support per student, it should be noted that state funding has gone down in the last 25 years, roughly from 53% of Berkeley's revenues in 1978-79 to 35% in 2003-04. UCLA's state funding is marginally higher than Berkeley's because of the medical school and the higher cost of a medication education.

Chart 2

State Funding, Tuition/Fees, and Endowment Payout per Student 2002-3



For the private universities shown in Chart 2, the fee income per student, all by itself, is typically larger than the combination of fees and state support for the publics. The clear possibility of future reduced levels of state support for higher education in California has led Berkeley to consider funding models which feature a greater reliance on student fees and a greater market-sensitivity in setting fees for various degree programs and non-resident students. In looking only at undergraduates at Berkeley, the campus enrolls 2,431 non-resident undergraduates in 2004-5, whose non-resident tuition totals \$33.4 million. The current UC proposal to raise non-resident tuition by 20% or \$2,746 would generate an additional \$6.7 million. For Berkeley to retain this additional income would represent another departure from system policy. Such an increase would involve negotiations between the state, the UC system, and Berkeley to increase the number of non-state students in exchange for keeping the revenue supplied from this source to fund the salary differentials needed to preserve Berkeley's standing among its comparison institutions.

The Task Forces looked at many different ways to supplement faculty salaries at Berkeley, including retaining some part of grant and contract revenue, resident undergraduate student fees, including professional schools, but at present these sources of funding present more problems than solutions. Other areas present more opportunities, like retaining some part of the income from well-endowed chairs, and with respect to newly endowed chairs, engaging in a capital campaign to create a large number of endowed chairs of at least \$1M and 'named FTE' capable of supporting a portion of the salary of incumbents. The Task Forces encourage the campus to raise the funds for hundreds of endowed chairs and endowed FTE that could generate about \$8M, roughly the cost of the Berkeley promotion increment. Another option for more internal funding is to pursue a goal of recruiting 75-80% faculty at the junior level, a goal most of Berkeley's private comparison institutions have achieved.

In order to reduce the costs associated with a higher average age of faculty Berkeley has formulated its own "Berkeley Retirement Incentive Program," in existence since 2003. In 2005-6, each faculty member who retires will receive \$20,000 for research and his or her department will receive another \$20,000 in discretionary funds.

CONCLUSION

UC's decision to award low or no range or parity adjustments to faculty may have had the short-term effect of producing the funds necessary to maintain its competitive position by selectively increasing off-scale increments for recruitment and retention of top faculty, but there have been long-term consequences. The current ladder faculty salary lag is 14% according to the CPEC salary methodology, while UC executive compensation has been increasing. UC's response has been to formulate a ten-year plan that lumps all employees together and focuses on executive compensation. The media has picked up on this priority and published a spate of articles. On Sunday, Nov. 13, *The San Francisco Chronicle* published "UC piling extra cash on top of pay" and "Other perks include parties, gifts, travel." These follow stories on the continuing saga of UCSC Chancellor Greenwood's promotion to and resignation from the position of systemwide Provost and her base salary, increased \$100,000 over the salary of the earlier Provost, and bonuses.

To feed its readers' growing curiosity about executive compensation at UC, *The Chronicle* provided a link to a database that includes the top 2500 UC employee salaries in 2004-5 divided into base salary and total pay (<http://www.sfgate.com/news/special/pages/2005/ucsalary/>). For example, ex-Provost Greenwood's salary is listed at \$380,000 but her total pay was a whopping \$520,069. On Nov. 29, the *LA Times* published "UC Professors Demand Audit," which details how 50 professors from UCLA and UCB signed a petition and sent it to Regent Parsky requesting a "truly independent investigation" into the issue of UC executive compensation. To defend itself against accusations of excess and extravagant bonuses, UC created a special website to offer a more complete picture of compensation at UC – <http://www.universityofcalifornia.edu/news/compensation/welcome.html>. (Check out the UCLA Faculty Association website for a list of those named at UCLA at www.uclafaculty.org/Newsletters/top2500.htm)

These recent actions in Oakland stand in contrast to what past UC presidents and Regents have done when faculty salaries have lagged significantly behind its competitors: bring faculty pay up to Comparison-8 levels within a reasonable period of time. Ten years is too long. During this period, the UC president is likely to have left office, along with most Regents who serve 12 years. The fear at Berkeley is that excellent faculty will also be long gone in ten years. With an overall annual budget of around \$18B, including about \$3B coming from the state, it would cost UC on the order of \$100M per year to bring ladder faculty up to Comparison-8 levels. The Faculty Association believes that UC's highest priority should be increasing faculty salaries to competitive levels within 2-3 years.

Berkeley administrators know that the quality of the faculty is the heart of an academic institution and have decided to take more control to protect the core enterprise and manage more of its own faculty resources to maximize its ability to compete nationwide. This campus is proposing that

- "Decoupled" (off-scale) increments should not be included in range adjustments so that more funds will be available for general range adjustments for all faculty and for awarding market increments for recruitment and retention of some faculty in some disciplines.
- The Task Forces are also approaching the issue of awarding and reviewing decoupled salary increments in a systematic way so that Berkeley can achieve its goal of retaining its competitive position.
- Berkeley is proposing policies to retain more of the income from non-resident undergraduate fees than the policy in Oakland currently allows and to increase the number of endowed chairs.
- Berkeley is also offering research incentives to older faculty to retire and matching funds for their departments to use.

THE QUESTION FOR UCLA

Is it time for a UCLA Compensation Task Force that has access to salary, recruitment, and retention information to propose a UCLA salary scale and a UCLA approach to compensation that marshals its resources to be used more effectively to maintain its competitive standing.

**Application to
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The Faculty Association at UCLA is a voluntary, dues-supported organization of UCLA Academic Senate members, founded about 30 years ago, with an Executive Board, Bylaws, a dues structure, and a Research Director.

Purposes: The purpose of the FA is to influence the decisions of the University administration and the state legislature that affect faculty salaries, benefits, and working conditions broadly defined

Relation to the Academic Senate: The FA at UCLA supports the Senate in all academic matters. Because it has no state funding the FA at UCLA can and does engage in lobbying and other nonpartisan political activities on behalf of faculty.

Membership: The FA at UCLA membership is open to all faculty eligible for membership in the UCLA Academic Senate.

I wish to join the Faculty Association at UCLA. I agree to pay the following dues (choose one) by payroll deduction and to sign Form U669 below or by personal check. FA dues are tax deductible: either on Schedule A of your income tax to the extent that they and other profession-related and income-producing expenses exceed 2% of your adjusted gross income; or in some instances on Schedule C without the 2% limitation. Please check with your tax consultant.) AAUP members may claim a 20% reduction in FA dues.

- _____ \$8.75 per/mo. for Assistant Professors and Acting Professors of Law
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- _____ \$40.00 per year for Emeriti (by check only)
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Mail Completed Forms to:

FA at UCLA, P.O. Box 33336
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Or drop in Campus Mail to:

Prof. Ed Condren, UCLA FA Membership Chair
2317 Rolfe 153002

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Last Name _____ First Name _____ Middle Initial _____ Dept. Employed at UC _____
 Title at UC _____ Organization name: Faculty Association at UCLA Campus UCLA
 Employee ID _____ Date _____ Action on this Form to Become Effective on Pay Period Beginning _____
 Email Address _____ Monthly Deduction: Dues _____ Initiation Fees 0 General Assessment 0

I authorize the Regents of the University of California to withhold monthly or cease withholding from my earnings as an employee, membership dues, initiation fees, and general assessment as indicated above. I understand and agree to the arrangement whereby one total monthly deduction will be made by the University based upon the current rate of dues, initiation fees, and general assessments.

I also understand that changes in the rate of dues, initiation fees and general assessments may be made after notice to that effect is given to the University by the organization to which such authorized deductions are assigned and hereby expressly agree that pursuant to such notice the University may withhold from my earnings amounts either greater than or less than those shown above without obligation to inform me before doing so or to seek additional authorization from me for such withholdings. The University will remit the amount deducted to the official designated by the organization. This authorization shall remain in effect until revoked by me allowing up to 30 days time to change the payroll records in order to make effective this assignment or revocation thereof or until another employee organization becomes my exclusive representative.

It is understood that this authorization shall become void in the event the employee organization's eligibility for payroll deduction terminates for any reason. Upon termination of my employment with the University, this authorization will no longer be in effect. This authorization does not include dues, initiation fees and general assessments to cover any time prior to the payroll period in which the initial deduction is made. Payroll deductions including those legally required and those authorized by an employee are assigned priorities. In the event there are insufficient earnings to cover all required and authorized deductions, it is understood that deductions will be taken in the order assigned by the University and no adjustment will be made in a subsequent pay period for membership dues, initiation fees and general assessments.

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