



February 21, 2017

MEMORANDUM

TO: Budget Officers

FROM: Tim Norris

SUBJ: 2017-18 Annual Budget Instructions – Chapter 4

Chapter 4 of the annual budget instructions is attached. Also attached is a spreadsheet listing associate professors with five or more years in rank. It is important that faculty members at the rank of associate professor be periodically reviewed for possible promotion to full professor. The spreadsheet is configured with an auto filter, which will allow you to limit the selection by budget unit.

As indicated in Chapter 4, the Secretary of the Faculty will distribute a spreadsheet via email containing a list of all faculty appointments by division in early April. Any known promotions and/or new appointments should be recorded on the spreadsheet. Once completed, the list will be used by UW-System to report faculty promotions, change of status and other personnel actions to the Board of Regents. Additional instructions will be provided when the spreadsheet is distributed. If you have any related questions, please contact the Secretary of the Faculty.

Additional budget instructions will be provided in the coming weeks.

Attachments:

1. Chapter 4
2. Associate Professors with Five or more Years in Rank

c: Laurent Heller
Wayne Guthrie
Catharine DeRubeis
Steve Smith

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CHAPTER 4

Budget Related Personnel Actions

I. **SALARY MINIMA/MAXIMA**

- A. **Faculty.** The 2017-18 salary minima for faculty at the UW-Madison remain the same as the prior year rates. The minima apply to all current appointments, vacant positions and new appointments, whether made through the budget process or the appointment system. Promotions in rank are also subject to these minima. The minimum salary applies to the rate as of July 1, 2017 for annual pay basis staff or the start of Semester I for academic pay basis staff.

2017-18 FACULTY SALARY MINIMA		
Rank		
	Academic	Annual
Professor	\$59,684	\$72,941
Associate Professor	\$49,466	\$60,454
Assistant Professor	\$39,332	\$48,072
Instructor	\$37,293	\$45,575

EXCEPTIONS TO FACULTY MINIMA. Any faculty member currently below the new minimum must be brought to the new minimum with a proposed base adjustment. For such a faculty member, any promotional increases and/or merit must be provided in addition to the base adjustment required to bring the faculty member to the new minimum. In rare cases, unsatisfactory performance or some other extraordinary circumstance may warrant exceptional treatment. Individual cases in which the minimum will not be reached for faculty members should be discussed with the Office of Human Resources. Contact Catharine DeRubeis at catharine.derubeis@wisc.edu for additional information. A separate memorandum describing each case must be submitted to the Office of Human Resources (21 North Park) for review, with a copy to the Madison Budget Office (166 Bascom Hall). Deans and directors are responsible for ensuring that each individual continued below the minimum receives a written explanation from his/her department chair/director.

- B. Academic Staff.** The salary ranges for academic staff titles in Category A and the minimums for those in Category B are contained in Appendix A. <http://www.ohr.wisc.edu/pol/proced/UTG/SalRng.html#excategorya> The minima or maxima apply to all current appointments, vacant academic staff positions and all new appointments. Salary minima for members of the academic staff are mandatory. The initial minimum/maximum salary applies to the rate as of July 1, 2017 for annual pay basis staff or the start of Semester I for nine month staff. **Each academic staff member currently below the minimum for his or her title must be brought to at least the minimum.**

Academic staff, with extraordinary pay ranges are limited to the maximum salary of that extraordinary pay range. Most extraordinary pay range maximums are NOT automatically increased; they only change when new market data is submitted to the Office of Human Resources. The only exceptions are the IT titles with extraordinary salary ranges that are indexed to certain non-represented IT titles.

- C. Post Degree Training (formerly Employee-In-Training) Minima.** The 2017-18 salary minima for Post Degree Training positions at the UW-Madison remain the same as the prior year rates. The minima apply to all current appointments, vacant positions and new appointments, whether made through the budget process or the appointment system. The minima apply to the rate as of July 1, 2017 for annual pay basis staff or the start of Semester I for nine-month staff.

2017-18 EMPLOYEE-IN-TRAINING MINIMA		
		Full-Time Rate
Title	Title Code	Effective 7-1-16
Research Associate	X01NN	C27,483 A33,583
Research Intern	X50NN	C23,402 A28,595

II. **STUDENT ASSISTANT STIPENDS**

- A. **2017-18 TA and PA Stipend Rates.** The following rates that were recommended by the Graduate School Academic Planning Council (GSAPC) and approved by the Provost and Vice Chancellors will be in effect for 2017-18. These rates should be used for all budgeted group and vacant positions.

2016-17 GRADUATE ASSISTANT STIPEND RATES		
<i>Title</i>	<i>Title Code</i>	<i>Full-Time Rate</i>
Lecturer (SA) - Minimum	Y30NN	A45,522 C37,245
Teaching Assistant - Standard (Minimum)	Y33NN	C32,392
Teaching Assistant - Senior (Minimum)	Y33ND	C36,133
Program Assistant - Minimum	Y42NN	A39,590 C32,392
Project Assistant - Minimum	Y43NN	A39,590 C32,392

- B. **Higher Teaching Assistant/Program/Project Stipends.** Starting in 2017-18, the teaching assistant rates are a minimum, not a fixed rate. Higher stipend levels are permitted for teaching assistants and program/project assistants where qualifications or requirements warrant. Departments wishing to pay above the minima to accommodate different market factors should seek approval from the appropriate Dean or Director.

- C. **2017-18 Undergraduate Rates.** The following undergraduate minimum rates are in effect for 2017-18.

2017-18 UNDERGRADUATE MINIMUM RATES		
<i>Title Code</i>	<i>Title Code</i>	<i>Full-Time Rate</i>
Undergraduate Assistant	Y51NN	C32,392

- D. 2017-18 Research Assistant Stipend Rates.** The following rates remain in effect from 2016-17. The rates should be used for all vacant and group positions budgeted. Starting in 2017-18, the research assistant rates are a minimum, not a fixed rate. Higher stipend levels are permitted for research assistants where qualifications or requirements warrant. Departments wishing to pay above the minima to accommodate different market factors should seek approval from the appropriate Dean or Director.

2017-18 RESEARCH ASSISTANT STIPEND RATES		
<i>Title/Function Code</i>	<i>Academic</i>	<i>Annual</i>
Research Assistant (Y41NN)- Minimum	\$36,133	\$44,162

- E. Limitation on Graduate Assistant Appointments.** Teaching, program/project assistant and research assistant appointments offer students who are actively pursuing advanced degrees the opportunity to obtain valuable academic experience. These titles are not intended to be used as substitutes for other employment titles (i.e., lecturer).

Usually, a 50% assistantship is the maximum level permitted with a full graduate load. Exceptions are allowed (up to and including 75%) with the approval of the appropriate student advisor and major department chair for domestic students only. Starting in 2017-18, research assistant positions have a maximum FTE of 50%. In special situations, combinations of RA, TA and PA appointments may equal more than 75%. However, such exceptions are rarely approved. Appointments to assistantships that equal more than 75% require prior written approval of the Dean/Director and the Graduate School. Additional information can be found at: <https://grad.wisc.edu/acadpolicy/#facultyoliciesandprocedures>

III. FACULTY PROMOTIONS

- A. Review for Promotion from Associate to Full Professor.** It is important that faculty members at the rank of associate professor be periodically reviewed for possible promotion to full professor. The responsibility for ensuring that no associate professor is overlooked for promotional consideration rests with the deans and departments. Accordingly, individual schools/colleges and departments must establish special methods for assuring consideration for promotion. To assist you, a listing is enclosed of all individuals who have held the rank of Associate Professor for five or more years. If you have questions about this listing, contact the Secretary of the Faculty at admin@secfac.wisc.edu.
- B. 2017-18 Salary Adjustments.** Beginning in 2016-17 for faculty promotions that take effect in the 2017-18 academic year, promotions are allowed to fall between a fixed-dollar amount and ten percent of the faculty member’s salary base. Faculty promotions should reflect at least the following rate changes that were approved in November 2016 by the University Committee and the Provost.

<i>2017-18 Promotion</i>	<i>Academic</i>	<i>Annual</i>
Associate Professor to Professor	\$9,400	\$11,200
Assistant Professor to Associate Professor	\$7,300	\$8,600

NOTE: A promotional increase is not required where the individual is temporarily appointed at the Instructor level until the Ph.D is obtained.

It is expected that all individuals being promoted will exceed the campus minima for the new title by at least the amount of the promotional adjustment and it is required that each appointment receive at least average pay plan increases. Additional base funding from the campus level Reallocation Account will be provided to cover one-half of the required promotional increases.

IV. COLLECTION OF PROMOTION, TENURE, AND RENEWAL INFORMATION

The Secretary of the Faculty’s Office will be sending out a spreadsheet (via email) containing the list of all faculty appointments by division in early April. The spreadsheet contains the Name, Current Status, Institution, Department and Division of all faculty members who have not reached full professor. Once completed, this list is used by UW-System to report to the Board of Regents.

Any known promotions and new appointments will be populated on the report at the time it is sent. In some cases individuals will have to be removed or added to the spreadsheet. All corrections should be made in RED on the forms.

Using the appropriate Action Taken and the appropriate Proposed Status options listed in the table below; complete the yellow highlighted spreadsheet field for each individual faculty member. If an action was made outside of the normal budget cycle, include the effective date in the comment section on the spreadsheet.

ACTION TAKEN	PROPOSED STATUS
New Appointment-Tenure	Associate Professor with Tenure
Promotion to full Professor	Professor
Promotion & Tenure	Professor with Tenure*
Tenure Denied	
Resigned	*Professor with tenure will be used for new appointments only.
Retired	

Return a copy of the spreadsheet (with or without corrections) to the Secretary of the Faculty’s Office by mid-April. Include all pending actions, and contact the Secretary of the Faculty’s Office (admin@secfac.wisc.edu) once the outcome of the divisional committee or department review has been completed.

V. EMERITI APPOINTMENTS

- A. General.** Detailed information concerning emeritus status for retirees is contained in Chapter 20 of the Unclassified Personnel Policies and Procedures <http://www.ohr.wisc.edu/polproced/UPPP/UpppTableofContents.htm> and in Faculty Policies and Procedures, Chapters 1 and 7. http://www.secfac.wisc.edu/FPP_ch_7.htm#7.31. Questions should be directed to the Office of Human Resources (3-2431).
- B. Re-employed Annuitants - Individuals retiring at or prior to the end of the current fiscal or academic year.** State regulations do not permit the university to reach an agreement with the individual to return to work until **after** the effective date of the retirement. Therefore, these individuals should not be included in your CAT budget submission. Individuals who are already retired at the time of your CAT budget submission and have or are returning to work should be included in the CAT.
- C. Emeriti - Not Re-employed.** Individuals who have emeritus status but are not employed should not be included in your CAT budget submission.

VI. SALARY ADJUSTMENTS FOR WHICH INSTITUTIONAL BASE FUNDS MAY BE USED

- A. Situations in Which an Adjustment is Appropriate.** Requests for base salary adjustments must demonstrate that they are necessary for one or more of the reasons listed in the supplemental listing of budget adjustment codes. If you have difficulty identifying the type of adjustment that might be appropriate for a specific situation, contact your Compensation and Titling contact (www.ohr.wisc.edu/udds)
- B. The Adjustment Process.** With advance approval, a portion of the base budget of a unit may be used to adjust the salary of an individual, in addition to the increase provided by the state compensation plan. Completed documentation is due in the Office of Human Resources by March 30, 2016. Each proposed adjustment should be entered in the Rate/Title System, and if approved by the Office of Human Resources, the increase will be entered directly into HRS.
- C. Budget Entry of Adjustments.** If the increase is entered into HRS before April 1st, the HRS live data feed to CAT will be active and the change will automatically update the record in CAT. Increases entered into HRS between April 1st and budget lock will require a placeholder entry in the compensation section of the CAT page.

VII. PAY BASIS CONVERSIONS

The pay basis for an individual should be appropriate for the duties for which the person is normally responsible. The conversion of an employee's appointment from one pay basis to another (e.g., annual to academic) should occur infrequently, since circumstances rarely justify such shifts once an appropriate determination has been made. Temporary changes in duties which extend the length of time that an academic pay basis person will work in a fiscal year (e.g., teaching in Summer Session) can be handled by use of a summer appointment. Appointments, either academic or annual which will be shorter than normal can be accommodated by a period entry showing the specific dates of service.

In those unusual cases in which the long-term responsibilities of the person have changed (e.g., the appointment of a faculty member to an administrative position such as Associate Dean), a change in pay basis is appropriate. Such changes, regardless of the direction of the conversion, should be made effective July 1 for the next budget year. Only in exceptional situations may conversions occur during the fiscal year at the start of the spring semester (January 1 if moving to 12 months). Requests for a pay basis conversion for a faculty, academic staff, or limited appointee need to be entered into the rate/title system for review and approval by the Office of Human Resources.

VIII EFFECTIVE DATE FOR FACULTY TITLE CHANGES

A professorial promotion to tenure conferred by Regent action or the President/Vice President, on behalf of the Regents, or a promotion from Associate to Full Professor may be used as a working title, in correspondence and other ways, immediately upon approval. This policy applies to both academic and annual basis appointments.

Unless an off-cycle promotion occurs at the start of the spring semester (January 1 for 12 month appointments), the date of the rate change (in HRS) should match the official title change, i.e., July 1 for annual basis or the start of Semester I for academic year appointments. (Faculty with academic year appointments who are being promoted and who also have summer service or summer session appointments, will continue to have their summer salaries based upon the rate of the previous academic year. **Summer appointments in the payroll system should reflect the old title and rate for all academic year appointments. In some cases summer payroll checksheets may need to be corrected.**

IX. INTER-GOVERNMENTAL PERSONNEL ACT TRANSFERS (IPA)

University employees who are serving in state or federal agencies and with institutions of higher education under the terms of an approved Inter-Governmental Personnel Act agreement should be shown on leave in the budget at their actual university rate. If the agreement extends beyond the start of the fiscal year, this rate should be adjusted by providing a compensation plan increase appropriate to the performance of the individual. Interchanges are temporary and initially made for one year with an extension possible for an additional year. All interchanges must be approved by the departmental chair, dean/director and the Office of Human Resources.

In those cases where the state or federal position carries a salary rate different from the university rate, a "CP" comment entry should be used to show the IPA rate and agency. The format is: (IPA - DOT RATE \$C63,500).

Only receiving agencies, other than another Wisconsin state agency, may pay supplemental pay and benefits to an employee for the duration of the interchange. Questions concerning Inter-Governmental Agreements should be directed to the Office of Human Resources.

X. BUDGET/HRS PERSONNEL ACTIONS

All new appointments and most changes to existing appointments (effective prior to July 1) will need to be entered into HRS as well as the budget. These include title changes, percent time, midyear base adjustments, leaves of absence/temporary assignment, pay basis conversions, etc. In addition, all new appointments and all title changes that are effective July 1, 2017 or later also require separate entry into HRS. The Office of Human Resources will enter all rate and title changes for academic staff, limited appointee, and faculty appointments.

All rate differences on the HRS to CAT Comparison Report should be reviewed and corrected if necessary in HRS. This will insure that the correct amounts will be generated for the payroll.