

Chapter 10 RATE AND/OR TITLE CHANGE

10.01 UNCLASSIFIED RATE AND/OR TITLE CHANGE

The Academic Personnel Office must approve all base adjustments for UW-Madison unclassified employees. **Until final approval is obtained, no university official is authorized to promise a base adjustment to an unclassified employee.**

Section 36.09 of the Wisconsin Statutes states that the Board of Regents is authorized to grant salary increases (other than the annual pay plan) only for these four reasons:

1. Job reclassification (change in duties)
2. Promotions
3. Salary Inequities
4. Competitive Factors

UW-Madison has divided some of these statutory reasons into the sub-types below. When a base adjustment is submitted, the reason for the adjustment should be clearly marked on the base adjustment form (or clearly stated in a memo). If there are several factors supporting the request, the request should clearly indicate the dollar amount attached to each specific reason code.

Note: Under state statutes, it is NOT possible to grant a base adjustment to recognize good performance. Salary increases for good performance can only be provided through the annual pay plan process.

Base adjustments (also referred to as Rate Changes) might or might not be accompanied by a title change, depending on the type of base adjustment.

How to Request a Rate and/or Title Change

- For Faculty Department complete: <https://orprd4.doit.wisc.edu/pvl/pvl.html>
- For Limited & Academic Staff:
 - Department complete: <https://orprd4.doit.wisc.edu/pvl/pvl.html>
 - Employees complete: <http://www.ohr.wisc.edu/Forms/Rate-TitleChange-for-Incumbent.doc>

Additional Forms and Information Required by the Academic Personnel Office

For Academic Staff and Limited appointees if the proposed title is in:

Administrative Director Title Series (e.g. Director, Associate or Assistant Director of Admissions, etc.) – An **organization chart** must be attached.

Unspecified Director Title Series {e.g. Director, Associate or Assistant Director (Unspecified)} – A Position Questionnaire (PQ) and organization chart must be submitted.

Program Manager or Special Assistant – A **Position Questionnaire (PQ) and organization chart** must be submitted.

Amount of Base Adjustment

1. **When there is a change in duties without a change in title**, a maximum of 10% is allowed. Exceptional situations should be discussed with the HR Representative and the Academic Personnel Office.
2. **When the proposed title is in a higher range** than the current one, the minimum increase normally must equal a minimum of 5% or an amount necessary to bring the employee up to the minimum of the proposed title, whichever is greater (excluding the July 1 compensation increase). A maximum increase of 10%, before or after the raise to the minimum, is allowed. Exceptional situations should be discussed with the HR Representative and the Academic Personnel Office.
3. **Other increases**: For increases such as market factor, equity, temporary assignment or error correction, there is no set amount. The amount of the increase should not create an internal pay inequity. Any adjustment amount below \$1000 should be corrected with merit if possible.
4. **Salary increases that exceed 75% of the UW System President's salary** have to be approved by the Board of Regents. This amount changes every year.
5. **Salary increases for Category A** titles cannot exceed the title range maxima.

Base Adjustment Types

A. Change-In-Duties (Reason Code: 001)

A base adjustment for Change-In-Duties is requested when a substantive change in the duties and responsibilities of a position occurs. The change has to be a qualitative rather than quantitative change to the duties.

- The title of the position may or may not change.
- Amount: A maximum of 10% is allowed. Exceptional situations should be discussed with the HR Representative and the Academic Personnel Office. The proposed amount should not create internal pay equity. For Category A academic staff and Limited, the salary cannot exceed the maximum of the pay range.
- Effective Date: Cannot be effective earlier than the first of the month following the receipt of the request to the Dean/Director's office as indicated by the office's date stamp.
- Pay Plan Implications: An employee receiving this type of base adjustment must receive at least 1/3 of the annual pay plan during the budget cycle following the base adjustment.

B. Promotion/Progression (Reason Code: 003)

A promotion is a natural career progression through which unclassified staff might be expected to progress in the area of specialty with successively greater experience, expertise, and responsibility in the particular position. The specific criteria for the prefix vary depending upon the function chosen.

Promotion to the rank of the distinguished prefix requires additional documentation as specified in the Distinguished Prefix Review Committee Policies and Procedures. The guidelines are found on page 73 of the Unclassified Title Guideline (UTG).

- Faculty promotions include moving from Assistant Professor to Associate Professor, or from Associate Professor to Professor.
- For Category B and professional Category A academic staff employees, a promotion would include a prefix change within the same title series (e.g., Assistant to Associate Lecturer) based on the promotional criteria found in the *Unclassified Title Guideline*.
- Movement within the Program Manager, Unspecified Director and Special Assistant series will be based on evaluation of the PQ.

- Movements within Assistant/Associate Dean & Administrative Officer series are based on a change in either the impact of decision-making responsibilities or the size of the unit.
- Resume must be submitted if external experience is counted to meet the required promotional criteria.
- Amount: **Academic Staff and Limited appointee promotional increases** must equal a **minimum of 5%** or an amount necessary to bring the employee up to the minimum of the proposed title range, whichever is greater. The minimum increase should not include merit increase. A **maximum increase of 10%**, before or after the raise to the minimum, is allowed.
- **Faculty** promotional increases are a specified amount (see Annual Budget Instructions Ch. 6).

2006-07 Rates

Promotion	Academic	Annual
Associate to full Professor	\$4,000	\$4,800
Assistant to Associate Professor	\$3,000	\$3,600
Instructor to Assistant Professor*	\$2,100	\$2,500

*If a faculty member is hired as an Instructor in order to complete the Ph.D. requirements, the title change to Assistant Professor upon degree completion is not considered a promotion. If a salary increase is linked to the title change, the Educational Attainment code (024) should be used.

- Effective Date: Cannot be effective earlier than the first of the month following the receipt of the request to the Dean/Director’s office as indicated by the office’s date stamp. Note: *Faculty promotions are generally effective July 1 or Semester I, unless a special exception is made (promotions outside of the budget process require UW-System review). To request an exception, please contact Catharine DeRubeis (cderubeis@ohr.wisc.edu) in the Academic Personnel Office.*
- Pay Plan Implications: An employee receiving promotion must receive at least the average annual pay plan amount during the budget cycle following the base adjustment.

C. Equity (Reason Code: 006)

An equity adjustment may be used to correct an inequity (for individual employees or a group of similarly situated employees) identified through analyses of faculty or academic staff with comparable training, experience and responsibilities.

Equity adjustments also may be made when **significant inequities** are created by **hiring new employees** at rates higher than those of existing staff – provided the rate of the new employees are necessary in order to recruit well-qualified individuals. Equity adjustment cannot be requested to correct inequities which have resulted from either the department's distribution of past merit plan increases (improvements in performance must be addressed through the annual pay plan) or base adjustments made in response to competitive factors (might be addressed as a market adjustment).

Please submit all relevant supporting documentation (listed below) to Academic Personnel for the final review of the request.

- identification of the newly hired employees and their salaries
- evidence of necessity to hire new employees at higher levels
- market data showing existing staff salaries are below market
- identification of the “similarly situated group of employees” (for group equity)
- methodology/formula used to determine the adjustments including the cost; and

- an analysis of the effect of the adjustments on the salary structure within the department including the effect on gender/race pay equity. **This must identify those who are getting an adjustment and those who are not, and explain why.**
- An analysis of the effect of the adjustment on the salary structure **within the division**, including the effect of gender/race pay equity. (Information provided by the dean's office)

Amount: There is no set amount. For Category A academic staff and Limited, the salary cannot exceed the maximum of the pay range.

Effective Date: Equity adjustments cannot be effective earlier than the first of the month following the receipt of the request to the Dean/Director's office as indicated by the office's date stamp. ***Exception: Faculty pay equity adjustments are generally effective July 1 or Semester I, unless a special exception is made. To request an exception, please contact Catharine DeRubeis (cderubeis@ohr.wisc.edu) in the Academic Personnel Office.***

Pay Plan Implications An employee receiving an equity base adjustment must receive at least average merit compensation during the budget cycle following the base adjustment.

Faculty Equity: To conduct the evaluation, please refer to the Guidelines for Implementing Faculty Salary Equity Review (see <http://www.provost.wisc.edu/salaryequitypolicy.html>), To ensure that an individual faculty member's salary is appropriately and equitably related to career merit in comparison with peers at UW-Madison, each faculty member's salary will be evaluated at the following times:

- At the time of each major faculty review and evaluation
 - Promotion to associate professor
 - Promotion to full professor
 - Each five year post-tenure review
- In the third year of the probationary period
- In response to a request from a faculty member

D. Market Factor (Reason Code: 022)

There are three types of market base adjustments: "Outside Offer," "Preventive," and "Retention." Evidence supporting the need for a market adjustment is essential; all market adjustments are reported to the Board of Regents and to the state Department of Administration (DOA).

1. **Outside Offer** - This adjustment reflects a salary increase necessary to retain a person who has received an outside offer of employment (with comparable duties and responsibilities) at a rate higher than his/her existing rate. *In the rare case that a department would be requesting a salary higher than the outside offer, considerable justification is required.* The position offered must be from an employer outside the UW-System.

The request must include the following:

- a copy of the outside offer letter or other evidence of the offer (email exchanges between the employee and the outside institution)
 - identification of the source of funds for the increases
 - an analysis of the effect of the adjustment(s) on the salary structure within the department including the effect of gender/race pay equity
2. **Preventive** - This adjustment may be used when a salary increase is necessary to retain one or more individuals who have not received an outside offer, but significant evidence of the serious retention problem exists, such as a recent pattern of employees in the same discipline/unit leaving UW employment to take outside positions with comparable duties and

responsibilities at higher levels of pay or that others in the same discipline/unit have received outside offers. This type of adjustment will be used only to retain individuals whose expertise is highly valued, and whose performance is exemplary.

The request must include the following:

- evidence of a retention problem
- market data showing current salary is below market (e.g., salary surveys)
- identification of the individual(s) and the methodology/policy for the adjustments
- statement regarding the performance level of the individual
- identification of the sources of funds for the increases
- an analysis of the effect of the adjustment(s) on the salary structure within the department, including the effect of gender/race pay equity
- For adjustments involving more than one person, the dean's/director's office must submit an analysis of the effect of the adjustment(s) on the salary structure **within the division** including the effect on gender/race pay equity.

3. **Competitive** - The adjustment reflects a salary increase necessary to retain one or more persons when there is no outside offer or specific example of current retention problems but there is evidence of a potential retention problem. The performance level of individuals receiving competitive market adjustments must be exemplary.

The request must include the following:

- identification of potential retention problems (e.g., other employers making employment inquiries of our faculty/staff)
- data showing that the current salaries are substantially below market
- identification of the individual(s) and the methodology/policy for the adjustments
- statement regarding the performance level of the individual/s
- evidence that the annual merit pay funds are not sufficient to resolve the retention problem
- an analysis of the effect of the adjustment on the salary structure **within the department**, including the effect on gender/race pay equity.
- for adjustments involving more than one person, the Dean/Director's office also must submit an analysis of the effect of the adjustment(s) on the salary structure within the division, including the effect of gender/race pay equity

Amount: There is no set amount. For Category A academic staff and Limited, the salary cannot exceed the maximum of the pay range.

Effective Date: Market adjustments cannot be effective earlier than the first of the month following the receipt of the request to the Dean/Director's office as indicated by the office's date stamp.

Pay Plan Implications: An employee receiving a market base adjustment must receive at least average merit compensation during the budget cycle following the base adjustment.

E. Raise to Campus Minimum (Reason Code: 023)

This adjustment is effective the date the salary falls under the campus minimum. Merit should be used if the increase is effective with the new budget year.

F. Temporary Assignment (Reason Code: 025)

This adjustment reflects the rate increase for a temporary assignment while recruiting for a permanent position, an unanticipated assignment of an unusual, short-term or non-recurring nature, or temporary administrative assignment (e.g., chair). A PVL waiver is created for acting positions.

- The effective date cannot be earlier than the first of the month following the receipt of the request to the Dean/Director's office as indicated by the office's date stamp.

- When the end date of a temporary appointment is known, this information should be included on the form. The end date should be entered into IADS as soon as possible.
- Divisions should do an annual review of all ongoing temporary base adjustments to ensure that the work is still being performed. The temporary adjustment must be removed when the temporary duties are no longer being performed.

G. Raise to School/College Minimum (Reason Code: 035)

This adjustment is effective the date the salary falls under the school/college minimum if the school/college has a minimum for a certain title.

H. Error Correction (Reason Code: 004)

This adjustment is effective the date the error was made or detected.

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