Title	Procedures to Policy on Faculty Compensation
Owner	Office of the Provost Human Resources
Effective Date	November 11, 2022
Contact	Provost@uconn.edu workforce@uconn.edu SPAR@uconn.edu payroll@uconn.edu
Official Website	Policy.uconn.edu

Contents

Background

This document serves as a companion to the Policy on Faculty Compensation (Policy) to provide administrative details and direction on how to process all types of faculty compensation described in the Policy. All faculty appointments must adhere to the procedural guidance outlined herein.

Procedures

1. *Base Appointment on Regular Payroll*

All new faculty positions are established through a job requisition and offer in PageUp, the University's applicant tracking system. Quick step guides, tutorials, and resources can be found on Human Resource's PageUp webpage.

Pay Components:

Base salary is reported in Core-CT using the UCANNL pay component. Department administrators must enter data into the UCANNL pay component field in the PageUp offer card to distinguish between base and any other pay components.

Resources:
- PageUp Resources

- Offer Letters
- Core-CT (Smart-HR)

2. *Administrative Appointments on Regular Payroll*

Faculty may be appointed to an administrative assignment (such as department head or director) that alters aspects of the faculty member's regular payroll appointment over the course of the work period. Administrative assignments should begin with an on-cycle start date. Administrative appointments could be in the form of A) an adjustment to base workload, or B) an addition of effort.

A. Adjustment to base workload

If the administrative effort replaces duties encompassed **within** the base workload and respective work period, no change to term or pay should take place. This type of administrative appointment is considered a buyout of existing effort, which is already compensated via the faculty member's annual salary. Adjustments to base workload must be documented in writing at the deans' level in accordance with the Policy on Faculty Compensation and, if applicable, Provost's Guidance on Secondary Appointments, and must be tracked/administered by the dean's office. Departments can make changes to funding distribution of the base salary using the "UConn Funding Change – Unclassified Employees" template in the Core-CT Smart-HR module (UC_TBH_DC_FUND_U).

B. Addition of effort

If the administrative effort is **beyond** the base workload and respective work period, the administrative appointment may be structured to include one or two additional months of effort, an administrative supplement, or a combination of both. This depends on the amount of effort (workdays) required to fulfill the duties of the administrative appointment, as well as the level of complexity, scope, and leadership of the appointment. These types of administrative appointments must be documented using Human Resource's template offer letter for faculty administrator appointments.

External search: If the academic unit is searching for an external candidate to fill a position with an administrative appointment, the job requisition and offer must be processed via PageUp as described in section 1 of these guidelines. The appointment should begin with an on-cycle start date (8/23 or 1/1). Units should consult with the provost's office to evaluate appointments they wish to start off-cycle.

Internal search/appointment: If the academic unit conducts an internal search or identifies an internal candidate for an administrative appointment, the appointment can be administered outside of the PageUp process. The department may make an offer using Human Resources' template offer letter and enter the change directly into Core-CT via a Smart-HR using the "Unclassified Pay Change – Department Initiated" template (UC_TBH_DC_UCLPAYDP). The appointment should begin with an on-cycle start date (8/23 only). Units should consult with the provost's office to evaluate appointments they wish to start mid-academic year or over the summer period.

Pay Components:

Additional months of effort are reported in Core-CT using the UC1MTH (for one month) or UC2MTH (for two months) pay components. Administrative supplements are reported in Core-CT using the UCADM pay component. Department administrators must enter data into the UC1MTH, UC2MTH, or UCADM

pay component fields in the PageUp offer card to distinguish between base and any administrative pay. Departments can also make changes to pay components using the "Unclassified Pay Change – Department Initiated" template in the Core-CT Smart-HR module (UC_TBH_DC_UCLPAYDP).
Note: It is very important to distinguish the base pay component (UCANNL) from any administrative pay components in Core-CT. This ensures accurate Job Data for all employees and improves the accuracy of salary reporting.

Resources:
- [PageUp Resources](#)
- [Offer Letters](#)
- [Core-CT (Smart-HR)](#)

3. *Summer Appointments on Special Payroll*
Summer appointments are appropriate for teaching, research, service, or other administrative effort that takes place during the eligible summer period, with compensation up to the total available effort as detailed in the Policy. The process for summer appointments is described below according to appointment term.

A. 9-month and 10-month

Summer appointments for 9-month and 10-month faculty that are during the eligible period (5/22 – 8/22 or 6/22 – 8/22, respectively) do not require a PageUp requisition or dual employment form. Departments must complete the appropriate summer appointment form (see table below) and enter the Core-CT payroll transaction via the Smart-HR "UConn Hire Template – Special Payroll Teaching" (UC_TBH_SPT) for stipend-based appointments or "UConn Hire Template – Special Payroll Non-Teaching" (UC_TBH_SPNT) template for hourly-based appointments.

B. 11-month

Eleven-month faculty are eligible for one additional month of effort/pay, which could take place during the summer period or at any point in the year. There is no set eligibility period that the one month of additional effort must take place, however the timing of the appointment must be appropriate based on the regular work assignment. These appointments do require a PageUp requisition and a dual employment form. Departments must submit a special payroll requisition in PageUp with the appropriate summer appointment form (see table below) and a dual employment form. Upon HR approval in PageUp, the department administrator enters the appropriate Core-CT payroll transaction (see table below).

Stipend-based, non-teaching appointments	Special Payroll Non-Teaching Stipend Hire PageUp (UC_PG_SPNTS)
Stipend-based, teaching appointments	Special Payroll Teaching Hire Page Up (UC_PG_SPT)
Hourly-based appointments	Special Payroll Time Reporter Hire Page Up (UC_PG_SPNT)

Resources:
- Summer Appointment Forms (required form dependent on type of work being performed)

Research	[Faculty Summer Research Certification](#)

Teaching	Faculty Summer Teaching
Other	All Other Summer Faculty Appointments

- Dual Employment Form (for 11-month term only)
- Core-CT (Smart-HR)

4. *Overload Appointments on Special Payroll – **interim for FY23***
Note: the procedures described in this section (overload) are interim processing guidelines for FY23 only. A project team is working to implement system improvements which will result in revised overload procedures for FY24 (June 2023 and beyond.

Overload appointments are only appropriate in specific circumstances such as work that is either one-time, of short duration, and/or temporary in nature. Examples of appointments that may qualify for overload include, but are not limited to: teaching above the assigned standard workload in the fall/spring semester, teaching during winter or May intercession, teaching above eligible summer salary effort/pay, or online course development with CETL. Appointments must meet the criteria defined in the Policy, and require approval by department head, dean, and provost to qualify for overload pay. Questions about whether an assignment or activity may qualify as an overload appointment should be directed to the dean's office and provost's office as needed.

In accordance with the Policy on Faculty Compensation, total overload pay cannot exceed 25% of the 12-month equivalent of annual salary between 8/23 and 8/22 of a given year. This is calculated as follows: annual salary / appointment term * 12 * .25. Exceptions to exceed 25% are rare and require approval by the dean, provost, and president.

Overload effort can take place at any time in the year – during the academic year or during the summer period. Once a faculty member meets the pay cap for overload earnings in a given year (8/23 to 8/22), the faculty member will not be eligible to earn additional compensation for effort in the **overload** category until the following year. The faculty member may, however, still have the ability to earn compensation for effort in the **summer** category, in accordance with the "Summer Salary" section of the Policy on Faculty Compensation. A single appointment cannot be split between the overload and summer categories (i.e. cannot be 75% summer and 25% overload). An appointment must be categorized as summer OR overload prior to processing. There are different rules for approval, and it must be clear prior to work beginning whether the department/faculty are requesting the appointment to be summer OR overload.

In no instance should a faculty member undertake overload work without written approval of the overload activity by all necessary parties. Questions about eligible earnings for an individual faculty member in a given year should be directed to the dean's office and provost's office as needed.

Overload effort/pay is separate and distinct from regular salary and summer salary. Overload effort/pay is not included in effort reporting for sponsored programs, which is comprised of regular and summer effort only. In no instance will the university approve overload effort charged to external grants/contracts. Job data in the university's Financial (KFS) and HR/Payroll (Core-CT) systems clearly categorizes an assignment as overload, such that it can be distinguished from regular and summer salary for reporting purposes.

The process to 1) request approval for an overload, and 2) enter the job into Core-CT is described below (according to the type of activity).

A. For Winter/May Teaching (coordinated by **CETL**):

1. CETL identifies the course schedule and subsequent teaching appointments in consultation with academic department heads (and regional campus director, if applicable).
2. CETL completes a template workbook provided by the provost's office, which includes details of all proposed teaching assignments for the respective period (winter or May). The provost's office evaluates eligibility for overload pay and calculates max earnings.
3. CETL circulates the workbook for the deans' and provost's approval.
4. CETL coordinates offer letters with all faculty documenting the terms of the teaching appointment.
5. CETL notifies faculty if their earnings are being capped due to the 25% overload max. Faculty may submit a form to waive additional compensation to a faculty account (see section 5 of Procedures).
6. CETL enters a "Special Payroll Teaching Hire Page Up (UC_PG_SPT)" template into Core-CT Smart-HR. Any assignment that would result in the faculty member exceeding the 25% overload max will be capped by the department administrator.
   a. Describe appointment as overload in "Comments"

B. For Winter/May Teaching (coordinated by **School/College Dean's Office**):

1. Dean's office identifies the course schedule and subsequent teaching appointments in consultation with academic department heads (and regional campus director, if applicable).
2. Dean's office initiates the *Faculty Overload Form.* This is the request to qualify the activity as an overload. Forms signed by the **academic home** department head and dean and the **overload** department head and dean should be emailed to provost@uconn.edu for provost review. This form **only** documents that the assignment can qualify for overload pay.
3. Dean/department office coordinates offer letter documenting the terms of the teaching appointment.
4. Dean/department notifies faculty if their earnings are being capped due to the 25% overload max. Faculty may submit a form to waive additional compensation to a faculty account (see section 5 of Procedures).
5. Dean/department enters a "Special Payroll Teaching Hire Page Up (UC_PG_SPT)" template into Core-CT Smart-HR. Any assignment that would result in the faculty member exceeding the 25% overload max will be capped by the department administrator.
   a. Describe appointment as overload in "Comments"
   b. Attach approved *Faculty Overload Form*

C. For All Other Appointments (including Summer Teaching as Overload):

1. The hiring department head/manager identifies the need for a potential overload assignment, evaluates whether the faculty member meets the criteria defined in the Policy, and works with the unit head (dean, director, AVP, etc.) to determine whether the assignment is appropriate for overload assignment.
2. The department administrator initiates two transactions:

a. *Faculty Overload Form.* This is the request to qualify the activity as an overload. Forms signed by the academic home department head and dean and the overload department head and dean should be emailed to provost@uconn.edu for provost review. This form **only** documents that the assignment can qualify for overload pay.

b. *PageUp Special Payroll Offer Card.* This is the hiring request in the university's applicant tracking system to receive the university's approval to hire the employee on special payroll. Human Resources will review all materials and confirm overload status with eligible overload pay earnings and required documentation prior to approving the offer.

    i. Must include a completed Dual Employment Form.

    ii. Must include a completed Faculty Overload Form. **Note**: departments may attach the signed overload form AFTER the offer card has been initiated. To do this, email the completed/signed form to SPAR@uconn.edu. Human Resources will attach the file to the offer card.

    iii. Must clearly categorize assignment as a faculty overload in the "Comments" section.

    iv. Must attach a template offer letter that includes template language for overload variable.

3. If the requested compensation exceeds the eligible 25% overload max, the department administrator notifies faculty if their earnings are being capped. HR will amend the total pay to reflect the 25% overload max cap before the transaction is approved. Faculty may submit a form to waive additional compensation to a faculty account (see section 5 of Procedures).

4. Upon HR approval in PageUp, the department administrator enters the appropriate Core-CT payroll transaction (see table below).

   a. Describe appointment as overload in "Comments"
   b. Attach approved *Faculty Overload Form*
   c. Check "EMPL Class" field in "Job Info" tab to confirm CC is listed.

Stipend-based, non-teaching appointments	Special Payroll Non-Teaching Stipend Hire PageUp (UC_PG_SPNTS)
Stipend-based, teaching appointments	Special Payroll Teaching Hire Page Up (UC_PG_SPT)
Hourly-based appointments	Special Payroll Time Reporter Hire Page Up (UC_PG_SPNT)

Tracking and Reporting – FY23 Only:

Overload effort/pay that has been approved by the provost's office in Fiscal Year 23 via the *Faculty Overload Form* will be manually moved to newly established object codes for reporting overload salary/fringe expenses (5234 and 5634). The provost's office maintains a master list of all approved overload transactions for FY23, which drives the journal entry adjustments required to move existing transactions from the special payroll object codes to the overload object codes.

Note: the overload object codes are intentionally **not** included in the SPS effort certification process (ERC system). Appointments charged to incorrect object codes will result in errors in our reporting and auditing systems. If a dean or department administrator identifies an expense or appointment that should be categorized as overload, but has not been moved to the overload object codes prior to fiscal year-end close, please contact provost@uconn.edu immediately.

Resources:
- [Dual Employment Form](#)
- [Faculty Overload Form](#)
- [PageUp Resources](#)
- [Offer Letters (Special Payroll)](#)
- [Core-CT (Smart-HR)](#)

5. *Waived Compensation*

Faculty may waive compensation from either a summer or overload assignment, in accordance with sections two and three of the Policy on Faculty Compensation. Faculty may choose to do this because they have reached the maximum earnings threshold for summer or overload compensation. Alternatively, they may simply prefer to receive funding in a university account rather than receiving compensation. A faculty member who chooses to waive compensation *must* do so prior to the start of the appointment. When funds are remitted to the University rather than paid out to the faculty member, the payment is not taxable to the faculty member. Waived compensation does not count towards the faculty member's maximum eligible earnings for summer or overload pay.

Funds may be remitted to any unrestricted University account, provided that the faculty member does not have unrestricted control over the account. The following guidelines must be observed:

- Neither the faculty member, nor any employee reporting to them may serve as the Fiscal Officer on the account unless measures exist that require the approval of a third party, such as the faculty member's supervisor.
- There must not be any arrangement or agreement that permits the faculty member to be the sole decision maker regarding the use or expenditure of the funds from the account.
- The account must be subject to all University policies regarding oversight and appropriate use of University funds.

Consistent with the University's mission, the account can be used for a wide variety of purposes including, but not limited to, teaching and research supplies or equipment, graduate assistantship stipends, professional development, travel, or related expenses. Waived compensation may not be used to pay or supplement the employee's salary.

The faculty member, the academic home department head, and the overload work department head will complete the Agreement to Waive Compensation form. The unit funding the appointment will initiate a transfer of funds to the designated KFS account. Forms should be maintained with financial records by the unit funding the appointment and attached to the fund transfer transaction.

Resources:
- [Agreement to Waive Compensation](#)

6. *Internal Awards*

Newly established award programs must be approved in writing by the dean and provost in advance of the award announcement and selection process. Requests should include: 1) a description of the award including an overview of criteria and selection process in line with the specifications of the relevant section in the Policy on Faculty Compensation, 2) fund source (typically a Foundation account for awards with personal compensation or 4L OPOTF/UNRSP for faculty research funds; internal awards cannot be

charged to grants), and 3) justification or intended goal/outcome for the award. Requests can be sent to provost@uconn.edu for review after the dean has approved.

Once an award program has been established and approved by dean and provost, award payments to specific faculty **do not require additional provost approval** unless the award amount is more than $10,000 in personal compensation. In accordance with the Policy, an individual faculty member may not normally accept more than $10,000 in personal compensation for internal awards. Any request to exceed this amount must be approved by the provost. Requests can be sent to provost@uconn.edu.

Internal awards do not count towards the faculty member's maximum eligible earnings for summer or overload pay.

Internal awards may be in the form of faculty research funds or personal compensation. After an award program has been established and the awardee selected, the department administrator may take the following steps to award the faculty member (by type):

A. Faculty research funds
   1. Notify the faculty member via email or award letter that they will receive faculty research funds as a result of the award. Identify the appropriate 4L KFS account to transfer funds to (typically a faculty IDC, startup, or professional development account).
   2. Initiate a Transfer of Funds (TF) in KFS using a "From" account that matches the ledger and sub-fund or the "To" account identified by the faculty member.

B. Personal compensation
   1. Notify the faculty member via email or award letter that they will receive personal compensation as a result of the award.
   2. Contact payroll@uconn.edu for direction on how to process the special payment.

7. *External Awards*
It is the purview of the provost to determine whether an award qualifies as a national or international award of excellence, thereby allowing a faculty member to accept a monetary award. Faculty must notify the dean and provost upon notice of award recognition, prior to accepting funds from the external agency, to evaluate whether the award qualifies for this status. Faculty should first notify their department head, dean, and assistant dean/finance director. The dean's office is responsible for submitting the request for external award status to provost@uconn.edu. The provost's office may consult with the Office of University Compliance, Tax and Compliance, Labor Relations, or General Counsel as needed when making a determination. The dean's office will coordinate the documentation of approval of an external award with the faculty member, which may include a memorandum of agreement.

Faculty are encouraged to reach to provost@uconn.edu at any stage in this process to consult with provost leadership directly about an external award.

Implementation and Revision

Approval Date	Approved by Provost Office March 16, 2023

Additional Materials
Policy on Faculty Compensation