

Title	Guidelines on FY23 Collective Bargaining Increases for Members of the AAUP Bargaining Unit
From	Carl Lejuez, Provost and Executive Vice President for Academic Affairs Anne D’Alleva, Interim Provost and Executive Vice President for Academic Affairs
To	Deans, Directors, Department Heads, Assistant Deans/Finance Directors
Applicable Audiences	Academic AAUP bargaining unit members (tenure track faculty, article 13 and 26 faculty/staff, and research assistants/associates) Law faculty
Effective Date	May 27, 2022
Contact Information	Bridget Inzirillo, Director of Academic Finance and Administration Rachel Wice, Academic Personnel Coordinator

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Background and Governance

The following guidelines address the salary increases negotiated under the collective bargaining agreement between the University and AAUP for Fiscal Year 2023 (FY23) effective August 23, 2022. This includes the administration of merit-based increases and the provost fund categories of retention, compression/inversion equity, and special achievement. The following represents the full landscape of collective bargaining increases (CBIs) for FY23:

Fiscal Year	General Wage Increase (perm)	Merit (perm)	Provost Fund (perm)	Lump Sum (one-time)
FY23	3.5%	1%	\$350,000 (retention, special achievement, compression/inversion equity) \$500,000 (compression/inversion equity)	\$1,000

General Wage Increases

The University applies all salary increases proportionally, with the exception of promotional increases, which apply only to base.

Effective August 23, 2022, those members of the bargaining unit whose performance is satisfactory will receive a 3.5% general wage increase. To be eligible for general wage increase increases, a member of the unit must have been on the payroll as of April 1, 2022 and still employed on August 23, 2022. If a department head has substantial reason to conclude that a member of the bargaining unit does not meet the criterion of satisfactory performance and has warned the faculty member in accordance with Article 30.5B., they should file a separate written recommendation with the dean or director and copy the Office of Faculty and Staff Labor Relations, justifying in detail the basis upon which they recommend that the satisfactory service increase be withheld. The evaluation should be included and should substantiate this recommendation.

Promotional Increases

Per Article 19, the University shall allocate \$100,000 annually to promotional increases. The balance of promotional increases shall be funded from the merit pool. Promotional increases shall be applied after all other increase are awarded.

The amounts for promotions in rank effective August 23, 2022 are as follows:

Instructor	\$1,000
Assistant Professor	\$1,750
Associate Professor	\$3,300
Professor	\$4,850

Lump Sum Increases

All regular payroll bargaining unit members as of July 15, 2022 will receive a \$1,000 one-time pensionable payment (prorated for part-time employees). Employees are expected to receive this payment in their August 12, 2022 paycheck.

Merit

Provisions regarding the administration of Merit are outlined in Article 19 and 25 of the AAUP Collective Bargaining Agreement.

Evaluation of Meritorious Performance

Merit is for the recognition of noteworthy contributions to one's department, school, campus, or college, the University, and/or professional discipline through the traditional avenues of teaching, research, and service. Meritorious performance is regarded as noteworthy contributions beyond the merely satisfactory, and it is not expected that all members will qualify for such recognition. Department heads and deans are encouraged to keep in mind the values of diversity, equity, and inclusion when formulating their merit recommendations, recognizing the variety of modes (teaching, research, and service) in which meritorious work can be expressed.

The merit review period will be from **July 1, 2021 through June 30, 2022** (one year). Departments must have established criteria to determine how meritorious activity will be weighted across the entire review period. Department heads shall take departmental committee recommendations into consideration when making their own merit recommendations, if constituted. In concert with the PTR requirements identified in the Bylaws, merit criteria shall include instructional, scholarly service, and outreach excellence, as appropriate.

For each faculty member who receives merit, the total recommendation from the department head, dean, and provost must be at least \$500.

Evaluating Faculty with Secondary Appointments

Joint Appointments: Departments and interdisciplinary units employing jointly appointed faculty shall mutually review and recommend merit for faculty based on shared responsibilities. The tenure home department will administer the merit award process. The joint appointment supervisor shall advise the tenure home department of the faculty member's performance in their interdisciplinary field, considering the faculty member's contributions to instruction, scholarly or creative work, and service in the interdisciplinary unit. Home department heads should contact secondary department heads to gather feedback prior to submitting recommendations to deans.

Regional Campus Faculty: Regional campus faculty will contribute to the academic home department merit pool. The department head will make merit recommendations for regional campus faculty in consultation with the regional campus director. Directors of regional campuses should provide department heads with information on faculty contributions to instruction, scholarly or creative work, and service. Regional faculty activities should receive full consideration by academic home departments in the merit process. Home department heads should contact secondary department heads to gather feedback prior to submitting recommendations to deans.

Affiliate Appointments: Faculty in affiliate appointments are not required to receive a recommendation from the department head or director of the secondary department or interdisciplinary unit, however, the provost encourages home departments to consider the faculty member's interdisciplinary contributions.

Eligibility

To be eligible for merit increases provided under the AAUP contract for Fiscal Year 2023, a member of the unit must have been on the payroll as of April 1, 2022 and still employed on August 23, 2022.

AAUP Merit Pool Allocation

The merit pool is comprised of 1% of the combined salaries of members of the unit as of December 31, 2021. The merit pool will be distributed according to the procedures outlined in Article 25. Departments will be allotted 70% of the merit pool (Department Merit). The dean will be allocated 20% of the merit pool (Dean Merit). The Provost will be allotted 10% of the merit pool (Provost Merit). An individual must receive a merit recommendation from their school or college to be eligible for merit from the provost's pool.

Law Faculty Merit Pool Allocation

Faculty at the UConn School of Law are confidential faculty and are not represented by a bargaining unit. The merit pool for law faculty is comprised of 4.5% of the combined salaries of members of the unit as of December 31, 2021. The School of Law pool is fully merit-based. The dean will be allocated 90% of the merit pool (Dean Merit). The Provost will be allotted 10% of the merit pool (Provost Merit). An individual must receive a merit recommendation from the dean to be eligible for merit from the provost's pool. Separate guidance will be provided to the dean of the School of Law.

Research Assistants and Associates

Research Assistants and Associates shall receive an incremental increase in lieu of a merit award. The amount shall be added to the base salary of each bargaining unit member employed as of April 1, 2022 and still employed on August 23, 2022. Effective August 23, 2022, the merit increment for Research Assistants and Associates shall be calculated as the percentage increase accorded to merit, less any portion of the merit pool reserved for the provost and deans. This results in a merit increase of 1.4% for all eligible research assistants and associates. This is in addition to the general wage increase of 3.5% for a total increase of 4.9%.

Provost Fund

The "Provost Fund" is a program that identifies a pool of university resources to be used for faculty salary increases for the purposes of retention, compression and inversion equity, and special achievement. The University may consider requests for salary adjustments for these categories according to the processes outlined in FY23 Provost Fund Guidance distributed August 23, 2021 (Revised May 27, 2022) [in Appendix A](#).

The pool of funding available in FY23 is \$850,000, including \$500,000 to address salary disparities resulting from compression/inversion. This pool of funding is inclusive of salary and fringe.

Retention and Special Achievement

Most retention requests are considered by the Provost throughout the academic year. It may be the case, however, that deans seek additional retention or pre-emptive retention increases during this stage

of the CBI process. Department heads and deans may include recommendations for the category of retention alongside the other categories being reviewed in the recommendation spreadsheets.

Special achievement may be awarded for situations in which a faculty member has received a significant external acknowledgement such as a major prize or award. These types of recommendations must be accompanied by documentation describing the achievement (this can be an explanation in the “notes” column of the spreadsheet or an attachment).

As has been done in previous years, initial proposals for retention and special achievement increases should assume they will be jointly funded by the Provost (1/3) and the school/college or department (2/3). Funding arrangements are subject to change pending fund availability.

Salary Disparities Resulting from Compression/Inversion (Equity)

Deans will receive a target pool of funds to assist in calibrating the total funding available to address salary disparities. This allocation is calculated based on salaries within the unit as a proportion of total salaries in the division of academic affairs. The amount can be found in the unit’s recommendation spreadsheet. The allocation amount does not represent a definitive commitment but serves as a benchmark to assist deans in decision-making. Deans may choose to make recommendations that amount to more or less than the target, as long as the overall evaluation is justified.

Initial proposals for equity increases should assume they will be entirely funded by the Provost (as opposed to jointly funded by the Provost and the school/college). Funding arrangements are subject to change pending fund availability.

Department heads and deans are encouraged to utilize scatterplots designed by the Office of Budget, Planning and Institutional Research to aid in their equity analysis. These scatterplots illustrate the relationship between years in rank at the university and adjusted annual salary broken down by gender, rank, tenure status, unit, and department.

Deans should utilize this tool to identify outliers, followed by an evaluation of contributions and performance, prior to submitting equity increase recommendations. The provost will utilize this tool for further analysis of the recommendations received from the deans and will work closely with the deans to adjust recommendations as needed.

Access report here: [Faculty Years in Rank Scatterplot \(Fall 2021\)](#)

Notes on report data:

- Salaries are derived from Core-CT full-time annual salary as of November 2021, reported as of May 5, 2022. They are not inclusive of 2021 retroactive collective bargaining increases.
- All faculty are assigned to their home academic department.
- Salaries are reported as the 9-month equivalent of the annual salary (= annual salary / appointment term).
- These data include associate deans, reported under their home academic departments. Associate deans are grouped as “Faculty with Administration” in the “Faculty Role” category.

If you need assistance accessing the reports, please contact [Vitaly Glybin](#).

Recommendation Process

Dean Evaluation of Eligible Pool

1. Deans will receive an excel workbook inclusive of:
 - a. Summary of pool/recommendation amounts for merit and equity
 - b. Master list of eligible AAUP employees and pool calculation
 - c. Template spreadsheet to collect and submit all increase recommendations
2. The “total org pool” has already been adjusted to reflect the deduction of promotional increases in excess of \$100,000 (in accordance with article 19.3 of the collective bargaining agreement).
3. Deans have the authority to establish individual department pool amounts out of the total departmental pool (net RA merit) at their discretion.
4. Deans must remove the appropriate pool amounts for department head merit prior to establishing department pools.

General Instructions for Recommendations

5. Annual salaries of all eligible employees are reflected at 1.0 FTE (100%). The FTE column will reflect the appropriate proportion of employment. The recommended merit increase must be reflected at full-time or 1.0 FTE in the spreadsheet.
6. If there are changes including separations, appointment changes, effort changes, or corrections in department that are not accurately reflected in the spreadsheet, please make the necessary changes in the column provided.
7. General wage increases, promotional increases, and RA merit increases are already assigned to all eligible employees. Please do not adjust any of these numbers.
8. If a merit award is recommended, the total merit component cannot be less than \$500.

Department Head Recommendation

9. The sum of the department head’s recommendations must not exceed the amount allotted to the department.
10. If the department head is listed on the spreadsheet, please leave the recommendation column blank. Merit for department heads is part of the dean’s allocated pool and not part of the department allotment.
11. Department heads will forward the completed spreadsheet to the dean by the deadline noted in the timeline.
12. In accordance with Article 25.2.G., “prior to the department head making a recommendation to the dean, the department head shall inform each bargaining unit member of the merit recommendation for that bargaining unit member,” and, “the department head shall inform each bargaining unit member when their merit recommendation is submitted to the dean.” A faculty member has 7 calendar days from receipt of the department head’s recommendation to request a meeting with the department head and 14 calendar days from the time of the department head’s recommendation to the dean to discuss the recommendation with the dean.

Dean Recommendation

13. Deans will evaluate departmental recommendations and make their own recommendations for department head, unit, and provost merit, as well as the provost fund categories.
14. The sum of all department and dean merit awards should not exceed the amount allotted to the dean.
15. Deans will forward the completed spreadsheet to the provost office ([Bridget Inzirillo and Rachel Wice](#)) by the deadline noted in the timeline.

16. In accordance with Article 25.2.I., “prior to the dean making a recommendation to the provost, the dean shall inform each bargaining unit member of their merit recommendation if it differs from the department head’s recommendation.”
17. Deans will notify any faculty who requested a Provost Fund increase if the request is not supported.
18. In accordance with Article 25.2.L, “within two weeks of making their recommendations to the provost, the office of the dean shall compile and make available to the departments an abstract of merit recommendations. Similarly, the dean shall compile and make available to department heads an abstract of merit recommendations for the department heads.”

Provost Recommendation

19. The provost will evaluate recommendations to ensure all increases fall within the respective allocations. The provost will analyze equity increase requests.
20. The provost will share a final spreadsheet of approved increases to deans and send all increases to HRIS for entry into eComp according to the timeline.

Timeline

Date	Action
April 1 – June 1, 2022	Faculty may request a salary adjustment from the General Fund by emailing their dept head.
May 27, 2022	Provost distributes FY23 CBI guidance.
Estimated by June 3, 2022	Provost distributes <i>preliminary</i> ¹ eligibility lists and merit pools.
June 28, 2022	Deadline for dept head to review faculty requests with dean or designee. The dean may adjust this deadline internally.
July 26, 2022	Dean will compile all faculty requests along with department head or associate dean recommendations and submit to the provost office (Bridget Inzirillo and Rachel Wice).
July 26 – August 9	Provost will evaluate merit and provost fund category requests.
August 9, 2022	Deadline for provost to evaluate increase requests from deans. Provost will provide final spreadsheet of approved increases to deans and send to HRIS for entry into eComp.
TBD	Blackout period for SmartHR transactions for all bargaining unit members.
Week of September 5, 2022	HR notifies all faculty of all collective bargaining increases (GWI, merit, provost fund categories, promotion, or minima adjustments). Increases will be reflected in the September 9, 2022 paycheck.
October 2022	BPIR initiates transfers to departments for centrally funded portions of increases.

¹ Pool amounts are subject to change. Provost will follow up with deans accordingly throughout the process.

Appendix A: FY23 Provost Fund Guidance

Date: August 23, 2021, Revised May 27, 2022

To: Deans

From: Carl W. Lejuez, Ph.D.
Provost and Executive Vice President for Academic Affairs

RE: FY23 Provost Fund Guidance

The “Provost Fund”² is a program that identifies a pool of university resources to be used for faculty salary increases for the purposes of retention, compression and inversion equity, and special achievement. The University may consider requests for salary adjustments for these categories according to the processes outlined below, which are broken down into two distinct phases.

Phase I - Retention

Definition: Retention increases aim to support the University’s efforts to retain exceptional, highly productive faculty from considering external offers from competing institutions. The Provost will consider pre-emptive retention requests in cases where there is evidence a faculty member is considering external opportunities.

Process:

- The Provost will consider retention requests from the Deans throughout the academic year, as the urgent nature of these requests require a timely response from the University.
- Faculty may request a retention increase by emailing their Department Head (copy Dean or designee) directly. This request should include any relevant supporting documentation (i.e. evidence of recruitment, request to interview, or offer letter from competing institution).
- The Department Head must review the request directly with the Dean in a timely manner.
- If the Dean intends to retain the faculty member, he or she will bring the request directly to the Provost (copy Vice Provost) with a requested increase amount and funding arrangement. If the Dean does not intend to retain the faculty member, he or she will notify the Department Head and faculty member of the decision at that time via email.
- The Provost will evaluate retention requests from the Dean immediately. If the retention increase is approved by the Provost, the faculty member will receive a retention letter from the Dean memorializing the details of the arrangement, which will go into effect August 23, 2022.

² Contingent upon reaching an agreement on a successor collective bargaining agreement that includes such provision in effect on or after July 1, 2022.

Phase II - Equity and Special Achievement

Definition:

Compression/Inversion Equity: Salary compression occurs when a competitive market urges hiring managers to bring new faculty in at higher salaries than in previous years, which may compress the difference in salary between ranks. Salary inversion refers to the situation in which faculty members in lower ranks earn more than colleagues in higher ranks. These patterns may be more generally referred to as inequity due to “compression/inversion.”

Special Achievement: Special achievement may be awarded in situations in which a faculty member has received a significant external acknowledgement such as a major prize or award.

Process³:

- The Provost will consider compression/inversion equity and special achievement requests at the end of the academic year, as these requests are typically reviewed in parallel with the annual review and merit process (if applicable).
- Faculty may request a salary adjustment for compression/inversion or special achievement by emailing their Department Head (copy Dean or designee) between **April 1, 2022** and **June 1, 2022**. This request should include any relevant supporting documentation (i.e. evidence of compression/inversion or major prize/award).
- The Department Head must review the request directly with the Dean or designee no later than ~~June 6, 2022~~ **June 28, 2022**.
- The Dean will compile all faculty requests along with Department Head or Associate Dean recommendations. The Dean will submit his or her own recommendations to the Provost (via provost@uconn.edu) no later than ~~July 1, 2022~~ **July 26, 2022**. If the Dean does not intend to forward a faculty member’s request to the Provost for review, he or she will notify the Department Head and faculty member of the decision at that time via email.
- The Provost will evaluate compression/inversion and special achievement requests from the deans by ~~July 22, 2022~~ **August 9, 2022**. If a compression/inversion adjustment or special achievement award is approved by the Provost, the faculty member will receive a letter from the University indicating the increase amount and new salary ~~no later than August 15, 2022~~ **prior to the increase appearing in their paycheck**. If the Provost does not approve a recommendation from the Dean, the Dean will notify the Department Head and faculty member of the decision ~~at that time via email~~. All salary increases go into effect August 23, 2022.

³ Dates and process language have been revised as in accordance with the collective bargaining agreement.