COMMISSION ON FACULTY COMPENSATION AND ECONOMIC BENEFITS
ANNUAL REPORT FOR 2012-2013

I. STATEMENT OF COMMITTEE FUNCTION OR CHARGE

As specified in *Faculty Policies and Procedures* 6.34., the commission's charge is to address matters of faculty compensation and benefits by providing information, offering recommendations, representing the faculty in campus-wide discussions, and coordinating with the Academic Staff Executive Committee. Because of the implementation of the Critical Compensation Fund (CCF) in July 2012, the University Committee added several further elements to the commission's charge in the current year:

1. Undertake a study of how different units determined CCF and market equity reviews during the first (fall 2012) review;
2. Assess the effectiveness of the fall 2012 CCF and market equity reviews in alleviating salary problems previously addressed in the 2011-2012 annual report of the Commission on Faculty Compensation and Economic Benefits;
3. Determine whether the CCF is an effective tool, along with other tools of compensation, in bringing the salaries of UW-Madison faculty closer to the median of peer institutions and make recommendations for its continued use;
4. Identify and assess changes that could improve such exercises in the future;
5. Identify possible additional funds (e.g., further cost savings, innovation, philanthropy, or others) that might grow the CCF or fund other exercises directed at improving compensation plans.

The full charge to the commission is attached to this report as Appendix 1.

As of the submission of this report, available data allow us to fulfill elements 1 and 4, and to make suggestions for element 5. While we cannot yet provide a quantitative assessment of elements 2 or 3, as this will take several years of data, we have good qualitative indicators to provide some evaluation of these elements.

II. CURRENT YEAR'S ACTIVITIES

The last report of the Commission on Compensation and Economic Benefits was delivered on 5 March 2012.[1] Spurred on by the new opportunities to engage with compensation and benefits issues, the commission met eight times during 2012-2013, approximately every other week from October through December and twice in the spring semester. Meetings included conversations with leaders from the central campus administration as well as from the College of Letters and Science. In addition, individual committee members consulted with administrators from nearly all schools and colleges in order to review the administration of CCF within those units, and to determine what practices were most effective in the mechanism's implementation and what measures they would seek to improve in any future exercise of the program. The commission also met with representatives from the Academic Staff Compensation and Economic Benefits Committee and the Advisory Committee on Budget Policies, Issues, and Strategies, and two members of the commission conducted follow-up visits with several key administrators.

[1] http://www.secfac.wisc.edu/senate/2012/0305/2327.pdf

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III. CURRENT ISSUES AND CONCERNS

As indicated in the commission's 2011-2012 report, UW-Madison is at risk of losing its most important resource: world-class researchers who keep the university on the cutting edge of knowledge. Compared to peer institutions,[2] faculty and staff salaries are low. In an increasingly global market for research and education, UW-Madison is falling behind in its ability to compete for the best faculty, and it faces the prospect of losing many of its most talented professors to other institutions. The situation has been critical.

For at least the past decade, UW-Madison has ranked among top 20 universities in the world based on the Academic Ranking of World Universities.[3] UW-Madison has consistently ranked among the top three of U.S. institutions in research monies brought in and regularly places in the top ten of all institutions for doctorates conferred.[4] For undergraduate students, UW-Madison is ranked 41st in the nation by *U.S. News & World Report*, higher than all but three of our peer institutions.[5] The current Kiplinger rankings on the best values in public colleges place UW-Madison in the 13th position, also near the top of its peer group.[6]

The impact of faculty salaries must be addressed if the university is to continue to fulfill its mission of providing its students with a first-rate education. The latest available data, published in April 2013 by the Association of American University Professors, showed that UW-Madison salaries are well below the median. Full professors at UW-Madison have been in 12th (last) place among their peers for years, while assistant professors have been in 11th place, a drop from several years ago. Associate professors are the only group at the peer median. However, in the aggregate, UW-Madison salaries are 11.6% below the peer group median. This represents a slight improvement over 2011-2012 (when they were 12.6% below the peer group median); however, this is a tentative shift, with no clear trend line. Moreover, this year's figure is tied for the second lowest point since 1985.[7]

Faced with a crisis in faculty retention, in recent years UW-Madison administrators have sought to develop new mechanisms to improve the compensation of its faculty. Among these are the so-called "Stern Portfolio" of tools developed and implemented since 2010 under the leadership of Vice Provost for Faculty and Staff Steve Stern, including the high-demand faculty fund, which provides limited funds for the preventive retention of faculty likely to receive outside offers; a doubling of raises linked to promotions to associate or full professor (with yearly adjustments to the promotion increment tied to the Consumer Price Index); salary increases of 5-7% as post-tenure increments for full professors, who are eligible five years after promotion; and compression equity raises of 5-10% for full professors, who are eligible ten years after promotion and in five-year increments. These tools have had significant effects for the improvement of

[2] Peer group for purposes of faculty salary comparison, established by the Governor's Commission on Faculty Compensation, 1984: University of Michigan; University of California, Los Angeles; University of California, Berkeley; University of Texas at Austin; University of Illinois at Urbana-Champaign; Ohio State University; University of Minnesota, Twin Cities; Indiana University-Bloomington; University of Washington (Seattle); and Purdue University.

[3] http://www.arwu.org/ARWU2010.jsp

[4] 2010-2011 Data Digest, Academic Planning and Analysis, Office of the Provost and the Office of Budget, Planning and Analysis, University of Wisconsin-Madison, available at: http://apa.wisc.edu/DataDigest/DATA_DIGEST_11.pdf.

[5] http://colleges.usnews.rankingsandreviews.com/best-colleges/rankings/national-universities/spp+50.

[6] http://www.kiplinger.com/tool/college/T014-S001-kiplinger-s-best-values-in-public-colleges/index.php.

[7] http://chronicle.com/article/aaup-survey-data-2013/138309#id=240444. Also see memorandum from Sara Lazenby to Interim Chancellor David Ward, Provost Paul M. Deluca, Jr., and Vice Chancellor Darrell Bazzell, April 9, 2013.

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retention and campus morale, with a number of department chairs and deans taking strong advantage of them to elevate faculty compensation within their units. As of August 2012, a total of 704 faculty had received adjustments with new pay-merit tools (not including high-demand adjustments) at a total cost of $5,802,726.[8]

Yet these have also been modest, and one key tool is a short-term program—the compression equity program will sunset in 2014 after five years of use. Chancellor David Ward recognized the limitations of these tools and opted to take advantage of new allowable mechanisms developed since 2011 to supplement salary outside of a formal state-funded pay plan. In consultation with leaders of the Commission on Faculty Compensation and Economic Benefits, the Academic Staff Executive Committee, the University Committee, Associate Vice Chancellor Steve Stern, and Vice Chancellor for Finance and Administration Darrell Bazzell, Chancellor Ward created the Critical Compensation Fund in spring and summer 2012.

The CCF drew in its initial implementation on reallocated funds set aside in 2011 in preparation for potential cuts in the 2011-2013 biennial budget. The central administration initially considered a 1-2% supplemental pay plan but, in consultation with governance groups, elected to develop a program that could provide for more substantial, if selective, raises, according to the following criteria:

- CCF was the first salary mechanism designed to apply to all permanent employee categories, not faculty exclusively;[9]
- At the same time, CCF was not an across-the-board pay plan; such a plan would have exceeded the university's authority;
- Merit was a necessary but insufficient condition criterion for qualification for a CCF adjustment;
- Up to 30% of employees could be eligible for a CCF increase of 5-10% of the permanent base salary;[10]
- Faculty who had recently been hired at a market rate or who had recently received market rate adjustments should not receive first consideration for CCF adjustments.

As the report below indicates, CCF is a useful and effective tool—*in conjunction with other mechanisms*—for bringing UW-Madison faculty salaries in line with those of the peer group. Such adjustments come at a significant cost: the reallocations that have paid for the initial implementation of CCF have been painful to some units. Yet CCF represents an important step toward the investment of the university in its future. As an institution that competes in national and global markets to attract top faculty, its faculty salaries must not be allowed to languish below the median of those of its peers; indeed, they are currently at or near the bottom of the peer group (see Appendix 2). If we are to maintain our university's high standing, it is imperative to maintain mechanisms to improve the salary climate for UW-Madison faculty for the purposes of recruiting and retaining first-rate employees. While CCF is a step in the right direction, its work is not complete.

[8] Report on Faculty Pay-Merit Initiatives After Three Years, August 2012 Chairs/Directors Leadership Summit.

[9] It is critical to note that CCF applied to academic staff and classified staff as well as faculty. Given the charge to this commission, this report focuses on the application of CCF to faculty, although the commission recognizes the importance of CCF's implications beyond that category. Report on Faculty Pay-Merit Initiatives after Three Years, August 2012 Chairs/Directors Leadership Summit.

[10] The logic behind the 30% figure was that through two exercises of the mechanism, CCF, in combination with other available tools, would allow the majority of UW-Madison faculty to be eligible for a salary increase over a several-year cycle. Personal communication from Steve Stern, 7 November 2012.

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IV. DETERMINATION OF CCF AND MARKET/EQUITY REVIEWS DURING THE FIRST (FALL 2012) REVIEW

In fall 2012, individual members of the commission contacted deans and other administrators in the following campus units to discuss the ways in which those units implemented the CCF mechanism:

- College of Agriculture and Life Sciences
- Wisconsin School of Business
- School of Education
- College of Engineering
- Nelson Institute for Environmental Studies
- School of Human Ecology
- Law School
- College of Letters and Science
- School of Medicine and Public Health
- School of Nursing
- School of Pharmacy
- School of Veterinary Medicine

We received responses from all units but the School of Nursing. Subsection A of this section describes the implementation of CCF in all campus units *other than* the College of Letters and Science; subsection B details the particularities of the mechanism in L&S.

Sample questions to deans and administrators in individual campus units included the following:

- What process was used to distribute CCF funds, and why?
- How quickly did the campus unit complete the process?
- Did the process work well in the campus unit? Why or why not?
- What were some examples of how CCF worked well or did not work well?
- How did the campus unit prioritize equity, retention, and market priorities as it allocated CCF funds? How were these priorities set?
- What data sources did the campus unit use to gauge equity and market concerns?

A. *CCF Determination and Distribution in Campus Units other than Letters and Science*

Although each campus unit had its particularities, there was some degree of homogeneity in the implementation of CCF in all campus units other than Letters and Science in the first round in fall 2012. (One important exception to this statement is the School of Medicine and Public Health, where issues of leveraged non-GPR budgets mentioned below under point 4.d were acute.) There are several factors that influenced this homogeneity. One factor was that most campus units accomplished the exercise very quickly, beginning in mid-to late summer and completing the exercise in early fall; in some (particularly smaller) units, this was due to a top-down administration of the exercise. In addition, with some notable exceptions, such units are far smaller than L&S, allowing for a faster and more straightforward review of eligible faculty. Finally, in most campus units other than L&S, the CCF exercise was completed independently of other budget or salary exercises, streamlining and simplifying the task.[11] What follows is not a detailed account of CCF distribution in all campus units, but instead is an identification of basic trends that marked the exercise in non-L&S units.

[11] Engineering and Veterinary Medicine combined the CCF exercise with a High-Demand Faculty Fund exercise.

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1. *Centralized administration of review and implementation (Business, Environmental Studies, Human Ecology, Law, Pharmacy).* Smaller campus units—in particular those without subdivision into departments—tended to adopt a vertical approach to the review of eligible employees and the implementation of the CCF mechanism.[12] These units generally accomplished the exercise quickly. They reviewed faculty salaries in light of national ratings where available.[13] Most of these units sought to bring their lowest-paid faculty closer to parity with their peers either at Wisconsin or nationally. Units almost universally cited the importance of consistent periodic performance reviews and professional activities reports as essential to the process.

2. *Decentralized administration of review and implementation (Agricultural and Life Sciences, Education, Engineering, Medicine and Public Health, Veterinary Medicine).* In larger campus units with departmental structures, deans decentralized the process. Where some deans' offices identified eligible faculty for departments, most simply distributed information about CCF, including eligibility criteria, to department chairs and allowed them to make recommendations for the CCF distribution. Prioritization of market or equity concerns was therefore a departmental matter. In general, departments submitted ranked lists of faculty eligible for adjustments, with relatively little further intervention from the deans' offices. The degree of faculty input into the process varied in these units: some empowered executive committees to determine departmental priorities, while others relied on subcommittees or department chairs to complete the exercise and submit rankings. Most of these units completed the process before 1 September 2012.

3. *Positive responses to CCF in non-L&S units.* Many deans saw CCF in a positive but qualified light. They almost uniformly welcomed CCF as another tool to rectify a growing disparity between their faculty's salaries and those offered by peer institutions. One respondent was pleased that CCF offered campus units flexibility to allocate salary adjustments with "few hoops to jump through," and noted that CCF provided a mechanism to retain pre-emptively several faculty who had been hired significantly below market level. Some indicated that CCF had been useful for addressing major equity concerns in faculty salaries, while others—particularly those with readily available comparative data—indicated that CCF was an effective, if incremental, tool for addressing market disparities.

4. *Critical responses to CCF in non-L&S units.* Although most campus units welcomed the tool, all had some important criticisms. Such critical responses include:

    a. CCF was a step in the right direction but too small to address the significant disparities that these units face.
    b. CCF was rolled out too quickly, with not enough training for administrators to ensure its proper implementation.
    c. Some administrators felt that the evaluation process was cumbersome and the deadline too tight in the first roll-out. Future implementations of the same mechanism would be smoother now that everyone has been through the process once.

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[12] Business and Law deans did so in consultation with department or division heads.

[13] For example, salary data published by organizations such as the American Association of Colleges and Schools of Business, the American Association of Colleges of Pharmacy, and the Association of American Universities Data Exchange. For highly anomalous units such as the Nelson Institute for Environmental Studies, no such data were available, and the unit relied on internal distributions of salary to determine equity.

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d. Units with a salary structure that relies on significant non-GPR found the process more difficult than those that rely primarily on GPR for salaries.
e. Many units indicated that by including a maximum of 30% of faculty, CCF created some problems with morale. Some units, however, offset this consequence by identifying faculty who would receive priority in a future exercise.

B. *CCF Determination and Distribution in the College of Letters and Science*

The College of Letters and Science warrants its own subsection of this report because the CCF allocation and distribution process differed so dramatically from that of all other campus units. This was in part due to the size of the college, its tradition of faculty governance, and the intersection of CCF with the college's own plans for a three-year cycle of faculty salary adjustments, which was already under way when CCF was announced.

In contrast with some other campus units, the college's governance structure is not top-down. It has a strong tradition of faculty governance through executive committees, which alone have the authority to make financial decisions for the departments. Since virtually all L&S faculty are paid on a C-basis (9-month, September to May), executive committees typically do not meet in summer, when many faculty are away conducting research. As CCF was introduced in July, this put the college at a significant time disadvantage since executive committees were not able to meet to discuss implementation until the start of the fall semester. The college compensated for this difficulty by assigning two deadlines for departmental recommendations for salary adjustments: the end of September and the end of October.

CCF also emerged when the college was already planning its own salary adjustment model. Under the L&S plan, every faculty member would be reviewed for a salary adjustment every three years, with the goal of bringing most faculty close to their peer medians within five years. With the introduction of CCF, the college elected to combine its salary adjustment plan with the new mechanism in a complex implementation involving a revolving cycle of evaluation and departmental contributions to salary adjustments. Faculty were randomized based on start dates and divided into three groups. The first group was eligible for evaluation and adjustment in fall 2012, the second in spring 2013, and the third in spring 2014. A memorandum from Dean Gary Sandefur detailing the CCF protocol and its listing of randomized start dates is included as Appendix 3.

The college determined match rates for departmental contributions based on several criteria. Primary among these were the academic quality of the departments and their place in salary rankings among peer institutions. Some of the highest-rated departments in the college have faculty with salaries as much as 40% below the peer median. Such programs earned a 2/3 match rate, with the department contributing 1/3 of salary adjustments. Others had a 50% or 1/3 match rate. In order to pay for their contributions, departments were allowed to draw on several sources of revenue or potential revenue. Most chose to eliminate positions through retirements or to "mortgage" future retirements in order to pay for adjustments. As a result, many departments were forced to downsize now and/or in the future in order to compensate faculty at closer to market rates.

The college also provided departments with two options for salary adjustments:

1. Departments could elect to provide salary adjustments of 5-10% to as many faculty as they wished over the three-year cycle, with the requirement that they would have to contribute according to the models outlined above.
2. Departments could elect to choose no more than 30% of their faculty for a 5% adjustment, for which the college would pay 100% of the cost.

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In general, the deans encouraged departments to exercise option 1, as the faculty are in general underpaid, and the only way to ameliorate a problem of this scale was to give departments a stake in improving the salary climate.

There have been good anecdotal results from the implementation of CCF in the college, with several faculty reporting that they have not applied for outside positions due to the increase that CCF provided. In addition, many faculty and department chairs have expressed their appreciation for not only the salary increases, but also a transparent process for their allocation. Yet there have also been problems with the exercise:

- As with other innovations, a result of liquidating positions in the college has the consequence of fewer smaller course offerings and larger class sizes as well as changes in the balance between graduate and undergraduate offerings.
- Liquidating faculty positions is not a sustainable practice.
- In departments without strong internal traditions of transparent merit reviews or a group of senior faculty who were experienced with the consequential merit reviews required by significant pay plans in the past, the exercise's novelty proved difficult in implementation.
- Departments had different match rates. One critical question for future exercises is the degree of input that departments and faculty governance groups have in determining match rates, which at the very least could alleviate the morale impact of such differences.
- One department refused to participate in the exercise, citing solidarity in the face of what its executive committee felt was an arbitrary 30% cap on adjustments and in objection to the idea that the university was taking a step in the direction of a purposeful diminution of resources.[14]

V. ASSESSMENT OF THE EFFECTIVENESS OF CCF AS A TOOL FOR IMPROVING FACULTY COMPENSATION

As of the submission of this report, it is too early for a quantitative evaluation of the CCF mechanism as a tool for bringing faculty salaries in line with UW-Madison's peer institutions. UW-Madison has only recently been able to assemble preliminary data on CCF's effects for faculty salaries, and peer institutions have not yet reported their current salary data. It is also impossible to know whether peer institutions have developed similar compensation mechanisms or received pay plans, which would have the possibility of perpetuating pay disparities. This report thus concentrates on CCF's effects on the UW-Madison campus, while urging next year's commission and university administrators to return to this question when the data become available.

Although it was a limited salary adjustment tool, CCF had a broad reach in its initial distribution. The tool increased pay for 3,119 employees through a $14.64 million investment. Nearly 23% of faculty (485) received adjustments totaling $3.84 million.[15] By rank, 20% of assistant professors received adjustments, at a mean amount of $6,476; 27% of associate professors received adjustments, at a mean amount of

[14] Personal communications with Maria Cancian, 28 November 2012, 20 March 2013, and 31 March 2013. A memo directed to Cancian stated that the department "rejects the current university policy of contraction and the diminution of resources."

[15] Critical Compensation Fund Exercise: Review of Results, 31 January 2013; see full summary in Appendix 4.

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$6,796; and 23% of full professors received adjustments, at a mean amount of $9,088.[16] By sex, 27% of female faculty received adjustments, at a mean amount of $7,687; while 22% of male received adjustments, at a mean amount of $8,336. By ethnic status, 24% of both white and minority faculty received adjustments, with the mean amount for white faculty $8,176 and the mean amount for minority faculty $7,925. Among white women, 27% received adjustments at mean of $7,696, while 22% of white men received adjustments at a mean of $8,453. Among minorities, 26% of women received adjustments at a mean of $7,773, and 22% of men received adjustments at a mean of $8,017.[17]

An assemblage of tools such as the doubling of promotion adjustments, post-tenure increments, compression equity, and CCF has now provided salary adjustments for nearly 1,200 faculty. CCF therefore served an essential role as part of a broader portfolio of tools for raising faculty compensation and, in a selective rather than a comprehensive manner, likely brought faculty salaries closer to the peer median.

Yet there are concerns that merit close attention for future faculty salary exercises:

- Achieving parity by funding source: future exercises will need either to adjust targets for GPR versus non-GPR funded allocations of CCF, or provide mechanisms by which units reliant on non-GPR can structure salary adjustments with appropriate flexibilities.[18]
- A flexible calendar for achieving and reporting results: different campus units have different budget and governance structures. Allowing units more autonomy in the implementation of mechanisms such as CCF could alleviate the timetable pressures imposed by a centralized process.
- Finding a sustainable funding model: although the commission recognizes the importance of a departmental stake in raising faculty salaries, downsizing as a mechanism for paying for market adjustments can only work in the very short term in the absence of significant innovations. Central administration must also recognize that different units are differently able to fund salary adjustments through innovations, and it must find ways to offset those costs for departments that are stretched beyond their capacity to provide both for equitable salaries and to sustain their educational missions.
- Future exercises and state or supplemental pay plans: the distribution of CCF adjustments to no more than 30% of faculty has generated some morale problems. A limited exercise seeking to bring some UW-Madison faculty salaries into parity with those of peer institutions has had the paradoxical effect of producing inequities at UW-Madison. The promise of a future exercise has somewhat alleviated these problems. Central administration should note that a state or supplemental pay plan that reaches all employees would be welcome but would not necessarily alleviate the potential inequities that a one-time implementation of CCF has engendered. It would be particularly useful if central campus were to give individual units flexibility in the distribution of resources made available in any future exercises.
- One potential problem that surfaced both campus-wide and in individual units was the issue of CCF adjustments for jointly appointed faculty. As the exercise turned out, it appears as if most nominations of jointly appointed faculty met with the enthusiastic endorsement of both units. But what to do in a future case where this might be debated is unclear. For example, if the Nelson

[16] These data are largely, but not entirely, complete. Final data will be available in the coming months. A summary of these data, along with CCF distributions by campus unit, is included in Appendix 5. Full data can be obtained from Jennifer Klippel in the office of the vice chancellor for finance and administration.

[17] These data are included in Appendix 6.

[18] This is a particularly acute issue for the School of Medicine and Public Health, which relies on significant clinical revenue for salaries of both faculty and academic staff.

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Institute for Environmental Studies wishes to nominate a faculty member who is jointly appointed in Plant Pathology (CALS), but Plant Pathology wishes to nominate another faculty member and is facing the 30% cap on the number of adjustments it can make, what solution can be found? Another potential problem emerges when different units have different match rates, and units that share joint appointments but have fewer resources are essentially forced into unaffordable matches by external nominations. (One possible solution could be a match rate based on the individual, rather than on the home unit.)

- Instructions from many deans' offices were unclear about how to prioritize market and equity concerns. While this respect for decentralized governance and departmental autonomy is welcome, a lack of clear guidelines produced some infighting at the departmental level.[19]

VI. RECOMMENDATIONS FOR FUTURE EXERCISES AND OTHER PAY TOOLS

The commission recognizes the value of CCF as an essential program for adjusting the salaries of those who have not received adjustments through other available mechanisms. Its broad recommendation is that CCF exercises become a regular option in a larger portfolio of tools that in time can mitigate the disparities across UW-Madison faculty salaries and between theirs and those of their peers. Yet administrators and faculty must also address the difficulties realized in the program's initial implementation, as well as the cost of this program and other tools for adjusting compensation.

The commission sees CCF as an important addition to rather than a replacement of the Stern Portfolio that has provided for meaningful adjustments to some faculty salaries. Although the Compression Equity tool is scheduled to close in 2014, other tools such as the High-Demand Faculty Fund, post-tenure increments, and substantial raises linked to promotion must be protected, and expanded where possible.[20] Department chairs who are able to make effective use of these tools have been able to use CCF to provide adjustments for faculty who have been contributing excellent work to the university's educational and research missions but who have not fit the eligibility criteria for these highly selective, limited adjustment mechanisms.

Campus administrators are now optimistic that the 2013-2015 biennial budget will allow for a modest (and potentially supplemental) pay plan, providing a 2-3% increase for UW-Madison employees.[21] This is of course a welcome change from over five years with no broad-ranging adjustments. Yet as stated above, such a pay plan would have the furthest reach if it operated in addition to, rather than in replacement of, a second CCF exercise. A pay plan that affects all employees would leave the disparities generated by a single CCF exercise in place, while a second CCF exercise, in conjunction with effective, judicious use of other available tools, could alleviate—if not entirely eliminate—inequities in salary.

[19] The College of Letters and Science's new category for "Market-Equity" adjustments further confounds this issue.

[20] For example, the high-demand fund operates in different ways across campus, as noted in this commission's 2011-2012 report. Uniform application of these funds for preventive and pre-emptive retention, rather than in response to serious market overtures, would likely alleviate the problem of burdensome, often unsustainable retentions.

[21] The exact mechanism of such a pay plan is unclear, but ideally it would apply to all permanent employee categories. Personal communication from Darrell Bazzell, 19 March 2013.

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In addition, the commission urges administration to consult the recommendations included in last year's report, briefly summarized here:[22]

1. The institutionalization of **new triggers** for raises for high-performing faculty, including the securing of competitive grants that have broad impact on the campus community; election to national academies or other prestigious bodies; the publication of particularly influential works; or exceptionally productive service activity;
2. The introduction of **temporary incentives or base adjustments** in certain circumstances, including:
   a. higher compensation during a major grant period;
   b. temporary base adjustments for triggers such as those indicated above in number 1;
   c. temporary endowments funded by new philanthropy (for example, a "term professorship" mechanism available to faculty at any point on the tenure clock);
   d. a bonus structure allowing departments to recognize exceptional performance through one-time incentives.
3. A restructuring of **endowed chairs** allowing for increases in salary either in addition to, or in place of, research funds.

The funding for the initial CCF exercise came through reallocations. While reallocation is a reality in an era of declining state support and educational innovation, the commission urges UW-Madison administrators to recognize that it cannot be the exclusive source of funding for future exercises. The commission therefore also urges a reconsideration of several possible funding mechanisms outlined in the 2011-2012 report, briefly summarized here:[23]

1. use of the chancellor's **Educational Innovation** campaign to develop savings and new revenues;
2. new **philanthropic efforts of UW-Madison and the UW Foundation** directed towards support for human capital;
3. elevating **differential tuition** in areas such as UW-Madison's **professional schools** as well as for **non-resident undergraduates** within limits that maintain competition with UW-Madison's peers.

To date, only the first recommendation (the use of the chancellor's Educational Innovation campaign) has contributed to CCF funding by allowing for departmental matches to university contributions. One further recommendation from the 2011-2012 report was the **increase of undergraduate tuition**, limited to the amount needed to offset cuts from state budget allocations. The commission recognizes that such increases may be necessary in an era of shrinking state support but also emphasizes that increases that contribute to faculty compensation should be limited to programs such as the Madison Initiative for Undergraduates, which link increased tuition to direct enhancements to undergraduate education and only when accompanied by equal increases in financial aid in order to maintain access for all qualified students.

One further potential source of funding draws on a combination of philanthropy and extramural funding that, if used creatively and carefully, could provide limited resources for the expansion or reimplementation of a CCF-like exercise. Several campus units have taken advantage of professorships funded either

[22] Available in significantly greater detail at http://www.secfac.wisc.edu/senate/2012/0305/2327.pdf. Some of these recommendations are currently unavailable or impracticable; however, the new human resources system may allow for partial implementation of some of these suggestions.

[23] In addition, central administration may wish to explore reframing the 25% to 75% ratio of non-resident to resident students at UW-Madison, a strategy recently adopted by the board of regents: additional revenues obtained from out-of-state or international tuition could offset the cost of such mechanisms.

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temporarily or permanently through extramural initiatives; the Andrew W. Mellon Foundation is one prominent example. If used in the right way, such opportunities could be useful as an alternative to replacements that arise through retirements. While foundations would be reluctant to support simple replacements, departments could think creatively about how to use such support to fund positions that move into innovative directions when faculty who teach in undersubscribed areas retire, using the salary savings from the retirement to fund increases for faculty while still retaining the line through outside support. This is obviously a limited source of new revenue but is one that could be useful to departments that have had high success rates in securing such positions.

VII. SUMMARY OF RECOMMENDATIONS

The Commission on Faculty Compensation and Economic Benefits is convinced through this year's analysis that the Critical Compensation Fund was a strong, if limited, success, and that it should be sustained as part of a larger package of tools for elevating faculty compensation in the interest of keeping UW-Madison competitive with its peers.

Recommendations for Improving Future Implementations of CCF or Similar Mechanisms

1. CCF or a similar adjustment mechanism is critical for bringing salaries in line with UW-Madison's peer institutions but only as part of a larger set of compensation tools and policies. CCF can also help address internal equity issues on the UW-Madison campus.
2. CCF should complement, rather than replace, these other tools and pay plans.
3. Even in the event of a state or supplemental pay plan, administrators should make every effort to ensure a second CCF exercise in order not only to elevate the salaries of those who were eligible but did not receive an adjustment in the first round, but in order to mitigate inequities produced as a consequence of the first exercise.
4. Comprehensive training and greater standardization before the rollout of initiatives such as CCF are essential to their success.
5. The commission urges administrators to seek revenue from the sources and strategies recommended in the 2011-2012 report, summarized in section VI above, to close gaps on salary inequities both among UW-Madison faculty and between UW-Madison faculty and their peers.

VIII. COMMISSION MEMBERSHIP

Louis Armentano (Dairy Science)
Jo Ellen Fair (Journalism and Mass Communication), UC ex officio appointee, non-voting
Anna Haley-Lock (Social Work)
Richard Keller (Medical History and Bioethics), chair
Alan Lockwood (Curriculum and Instruction)
Ann Macguidwin (Plant Pathology)
Donald Stone (Materials Science and Engineering)
James Tinjum (Civil and Environmental Engineering)
Mary Triana (Business)
Margarita Zamora (Spanish and Portuguese)

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IX. APPENDICES

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Appendix 1

THE UNIVERSITY of WISCONSIN MADISON

26 September 2012

To: Members of the Commission on Faculty Compensation and Economic Benefits
From: The University Committee (UC)
Re: Charge to the Commission: Assessment of Critical Compensation Fund and Recommendations for the Future

STATEMENT OF COMMITTEE CHARGE

As specified in *Faculty Policies and Procedures* 6.34, the commission's charge is to address matters of faculty compensation and benefits by preparing information for the faculty on the state of their compensation and benefits, including comparative data from other universities and professional fields as it deems necessary. The commission represents faculty in campus-wide discussions and prepares recommendations on these matters for the faculty senate, which may transmit them to the administration, the board of regents, the governor, and the legislature. To the extent possible, it coordinates its work with the Academic Staff Executive Committee.

Funding for the 2012 Critical Compensation Fund (CCF) became available through base budget reallocations. These funds were reinvested in an attempt to increase compensation of critical faculty and staff. Faculty salaries at the UW-Madison generally have not kept pace with salaries in peer institutions. Without redress these disparities could lead to a dispirited workforce, departures, and institutional decline. A large part of the commission's particular charge in 2012-13, therefore, involves monitoring and identifying weaknesses and potential modifications of the CCF process now underway. Specifically, the commission is charged with the following:

1. Undertake a study of how different units determined CCF and market equity reviews during the first (fall 2012) review.
2. Assess the effectiveness of the fall 2012 Critical Compensation Fund (CCF) and market equity reviews in alleviating salary problems previously addressed in the 2011-12 Annual Report of the Commission on Faculty Compensation and Economic Benefits.
3. Determine whether the CCF is an effective tool, along with other tools of compensation, in bringing the salaries of UW-Madison faculty closer to the median of peer institutions and make recommendations for its continued use.
4. Identify and assess changes that could improve such exercises in the future.
5. Identify possible additional funds (e.g., further cost savings, innovation, philanthropy, or others) that might grow the CCF or fund other exercises directed at improving compensation plans.

We look forward to receiving your report and recommendations no later than Wednesday, 13 March 2013. We will ask the commission to present briefly its work at the 8 April 2013 faculty senate meeting.

Please note that among the members listed at the bottom of the memo is Jo Ellen Fair, who is the UC's representative to the commission. The UC has designated her to recruit a member willing to be elected by the commission to serve as chair. Volunteers are, of course, welcome. It is very likely that the commission will need

The University Committee
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(continued)

Appendix 1, cont'd.

Compensation Commission
26 September 2012
Page 2

to meet on a frequent basis and may need to form sub-committees to achieve its goals. As always, the UC invites the commission to offer revisions to its charge once its active deliberations are in progress.

COMMISSION MEMBERS:

Louis Armentano (Dairy Science)
Jo Ellen Fair (Journalism and Mass Communication), ex officio, non-voting
Anna Haley-Lock (Social Work)
Richard Keller (Medical History and Bioethics)
Alan Lockwood (Curriculum and Instruction)
Ann Macguidwin (Plant Pathology)
James Tinjum (Engineering Professional Development)
Mary Triana (Business)
Margarita Zamora (Spanish and Portuguese)
TBA, another voting member to be added and affirmed by the faculty senate

(continued)

Appendix 2

WISCONSIN
UNIVERSITY OF WISCONSIN-MADISON

April 9, 2013

MEMORANDUM

TO: Interim Chancellor David Ward
Provost Paul M. DeLuca, Jr.
Vice-Chancellor Darrell Bazzell

FROM: Sara Lazenby, Associate Policy and Planning Analyst, Academic Planning & Institutional Research

SUBJECT: Faculty Salary Peer Comparison for 2012-13

Updated salary peer comparisons are now available for 2012-13. The Chronicle of Higher Education has implemented a useful online interface to the data, available at http://chronicle.com/article/aaup-survey-data-2013/138309#id=240444. The standard peer comparison report is attached, and we hope to provide additional comparison information in the coming weeks.

In 2012-13, among our official faculty salary peer group, UW-Madison remained ranked 12th among full professors, rose from 8th place to 6th for associate professors, and remained 11th among assistant professors. The overall salary increase needed to place each faculty rank at its respective peer group median stands at 11.6 percent (approximately $26 M), compared to 12.6 percent ($28 M) last year. See the attached graph for the trend since 1973.

These comparisons come from the Association of American University Professors (AAUP) "Annual Report on the Economic Status of the Profession" for 2012-13. Attached tables provide 2012-13 average salary figures and percentage increases in average salaries for UW-Madison and the universities in our official salary peer group. Salaries reported by the AAUP are affected by several factors, including faculty turnover and promotions, and individual salary adjustments for promotion, competitive market, or equity, in addition to the institutions' announced annual increases.

The AAUP reports an "All Ranks" combined average salary for each university. These "All Ranks" salary averages (which include instructors, lecturers, and non-ranked faculty) do not adjust for differences in rank mix between UW-Madison and peer institutions. In contrast, our rank-by-rank salary comparison controls for UW-Madison's higher than average share of full professors. The comparison attached to this memorandum does not include any adjustments for geographical differences in the cost of living, and may differ somewhat from the information presented by UW System, which do include such adjustments.

Please contact Sara Lazenby (sllazenby@wisc.edu or 3-5945) or Jocelyn Milner (jlmilner@wisc.edu or 3-5658) with any questions about these peer comparisons.

xc: Jocelyn Milner, Academic Planning and Institutional Research
Steve Stern, Vice Provost for Faculty and Staff
Bob Lavigna, Office of Human Resources
Steve Lund, Academic Personnel Office
Andrea Poehling, Secretary of the Faculty
Amy Toburen, University Communications
Eden Inoway-Ronnie, Provost's Office

Sara Lazenby, Associate Policy and Planning Analyst, Academic Planning and Institutional Research
University of Wisconsin-Madison, 170 Bascom Hall, 500 Lincoln Drive, Madison, Wisconsin 53706
608/263-5945 sllazenby@wisc.edu apir.wisc.edu

(continued)

Appendix 2, cont'd.

2012-13 Average Faculty Salaries by Professorial Rank

UW-Madison's Official Faculty Salary Peer Group

University	Full Professor		Associate Professor		Assistant Professor		Percent Change from 2011-12		
	Average Salary	Rank	Average Salary	Rank	Average Salary	Rank	Full Prof	Assoc Prof	Assist Prof
University of California-Los Angeles	167,002	1	109,993	1	88,810	2	2.7%	2.5%	1.6%
University of California-Berkeley	158,855	2	107,299	2	94,694	1	3.1%	2.6%	2.6%
University of Michigan-Ann Arbor	151,541	3	101,072	3	88,758	3	1.9%	2.9%	3.4%
University of Texas-Austin	143,965	4	92,801	4	85,950	5	2.3%	3.2%	2.4%
University of Illinois-Urbana	141,699	5	91,078	11	87,351	4	3.3%	5.2%	4.5%
Ohio State University	136,948	6	91,994	5	85,072	6	2.0%	3.0%	4.4%
University of Minnesota-Twin Cities	134,290	7	88,465	9	81,826	8	4.6%	1.6%	5.8%
Indiana University-Bloomington	131,959	8	88,590	12	80,441	9	5.5%	1.7%	1.7%
Michigan State University	131,205	9	90,912	8	71,034	12	2.1%	1.9%	2.2%
Purdue University	127,717	10	89,299	9	80,410	10	1.6%	3.8%	1.6%
University of Washington-Seattle	124,254	11	89,158	10	84,126	7	1.3%	1.0%	6.1%
University of Wisconsin-Madison	**118,761**	12	**91,108**	6	**77,468**	11	3.5%	4.3%	2.1%
Peer Group Median (w/o UW-Madison)	136,948		91,078		85,072				
Percent Increase Needed to Reach Median	15.3%		0.0%		9.8%				

Source: American Association of University Professors (AAUP) annual salary survey. Faculty members employed on 12-month contracts are included, but their salaries have been converted to 9-month rates. Medical schools are excluded. The average salaries reported to the AAUP by all institutions are affected by several factors, including faculty turnover and promotions, and individual salary adjustments for promotion, competitive market, or equity, in addition to the institution's announced annual increases. The rank-by rank method of salary comparison and UW-Madison's peer group for purposes of salary comparisons was established by The Governor's Commission on Faculty Compensation in 1984.It was reaffirmed in the 1992 report of a subsequent Governor's Commission on University of Wisconsin System Compensation.

Academic Planning Institutional Research, Office of the Provost, UW-Madison, SL 4/8/2013

(continued)

Appendix 2, cont'd.

Median Average Faculty Salaries by Professorial Rank

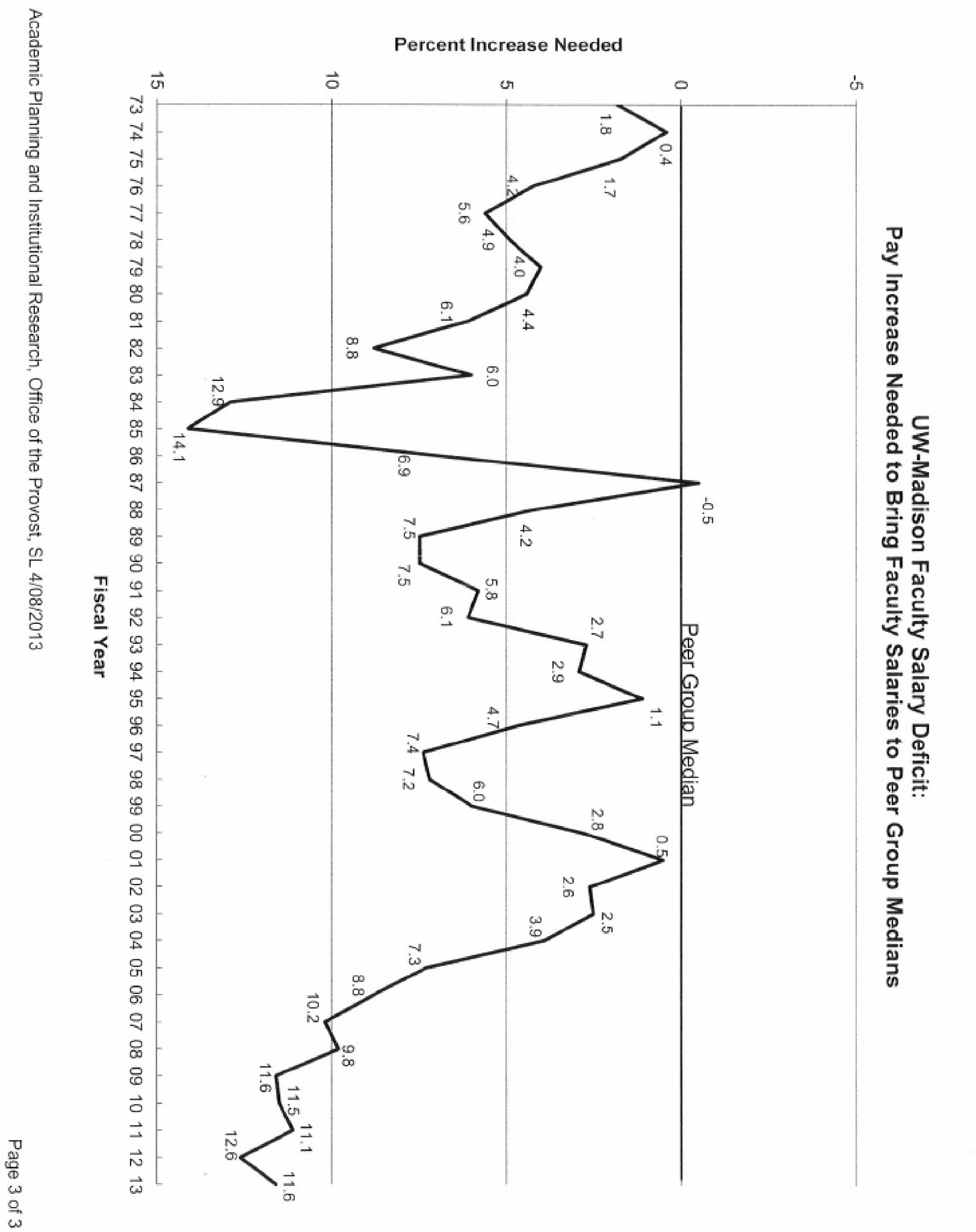
UW-Madison's Official Faculty Salary Peer Group

Professorial Rank	2003-04	2004-05	2005-06	2006-07	2007-08	2008-09	2009-10	2010-11	2011-12	2012-13
Full Professor										
Peer Group Median	$103,213	$108,426	$112,645	$117,173	$121,552	$127,441	$129,484	$131,548	$134,226	$136,948
UW-Madison	96,234	97,824	100,529	103,543	106,981	109,512	111,127	113,784	114,690	118,761
Associate Professor										
Peer Group Median	69,882	72,132	75,633	79,158	82,776	85,899	85,761	87,010	89,242	91,078
UW-Madison	73,256	73,446	76,518	78,112	82,478	84,466	85,805	87,276	87,373	91,108
Assistant Professor										
Peer Group Median	62,274	64,771	67,021	70,900	73,687	76,265	77,249	79,445	81,461	85,072
UW-Madison	63,597	63,571	64,296	66,014	70,385	73,048	73,618	74,930	75,860	77,468

Notes: Based on the annual AAUP Faculty Salary Survey. Faculty on 12-month appointments are included, but their salaries have been converted to 9-month rates. Medical schools are excluded. UW-Madison's peer group for purposes of salary comparisons was established by The Governor's Commission on Faculty Compensation in 1984. The peer universities include the University of California-Berkeley, University of California-Los Angeles, University of Michigan-Ann Arbor, Ohio State University, University of Texas-Austin, University of Illinois-Urbana, Purdue University, Indiana University-Bloomington, University of Minnesota-Twin Cities, Michigan State University, and the University of Washington-Seattle. The average salaries reported to the AAUP are affected by several factors, including faculty turnover and promotions, salary adjustments for promotions, competitive market adjustments, and equity adjustments, in addition to the announced annual increases.

(continued)

Appendix 2, cont'd.



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Appendix 3

COLLEGE OF
Letters & Science
UNIVERSITY OF WISCONSIN–MADISON

Date: August 20, 2012

To: L&S Chairs, Directors and Department Administrators

From: Gary Sandefur, Dean

Re: Campus Critical Compensation Fund Support for L&S Faculty and Staff Salary Adjustments

This memo outlines College plans to use the Critical Compensation Fund (CCF) and other College resources to begin to address pressing compensation issues for our faculty and staff. We very much appreciate the dedicated efforts of the Chancellor and other campus leaders in developing the CCF initiative. CCF resources and related policies will allow L&S to begin to address important salary issues for Academic and Classified Staff, for whom we previously had severely limited authority to make strategic salary adjustments. For faculty, CCF resources will allow L&S to partner with departments to begin to address compensation issues as part of our previously planned three year cycle of faculty market equity reviews, and to implement the first adjustments in 2012-13.

The college has been working with departments and other units to develop innovations and find efficiencies that will save resources, or generate new resources, to meet critical funding priorities. These priorities include retaining outstanding faculty and staff by providing more appropriate compensation. While the available resources are still short of what will be necessary to meet our medium term goals, the campus Critical Compensation Fund and related policies provide essential resources and flexibilities to make real progress.

- For Classified Staff, CCF resources will be used to offset the cost of classified staff DMC increases, with no additional contribution from departments. As noted in my memo of June 12, College and campus authority to implement salary adjustments for Classified Staff remains limited. However, with the availability of the CCF resources, we were able to act on a larger number of DMC requests. The first set of DMCs has been implemented. Departments were given an opportunity to make additional nominations, and a second round of DMCs will be finalized early in the fall semester. This process is underway and no additional action by departments is needed at this time regarding DMCs.

- For Academic Staff and Limited Employees, the CCF initiative will allow salary adjustments for up to 30 percent of staff in each category. CCF resources will offset the cost of salary increases, with optional supplementation by departments. Details on the L&S approach to Academic and Limited Staff CCF reviews are included in the attached document, with department-specific information on eligible staff and funding to follow on September 4.

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(continued)

- For faculty, we will incorporate the CCF initiative into the previously planned three year cycle of faculty salary reviews. We expect most departments to supplement CCF resources, though departments may choose to use CCF resources to fully fund more limited salary adjustments. Details on the L&S approach to these faculty salary reviews are included in the attached document, which also shows the schedule of reviews for the next three years (by calendar year of appointment). Department-specific information on eligible faculty and match rate will follow on September 4.

If you have additional questions after receiving department-specific information on September 4, please consult with your Academic Associate Dean, or with Anne Gunther and Mary Beth Ellis on budget issues and innovations funds, and with Cheryl Adams Kadera on Academic and Limited staff CCF recommendations. We will also have an opportunity to discuss the general L&S process at the Chairs, Directors and Administrators Orientation on August 28, and the Divisional Chairs and Directors meetings on September 24. We have also scheduled workshops to address general questions about process, the format for requests, and funding formulas (but not individual department budget questions) for Tuesday, 9/11/12 from noon-1:00 and Thursday, 9/13/12 from 3:00-4:00 (location TBA).

We recognize that there are both real opportunities and great challenges involved in implementing the CCF and this new approach to addressing salary issues. In the current context of very limited resources and large salary gaps for critical faculty and staff, our options are constrained; difficult tradeoffs are inevitable. Nonetheless, the College is committed to developing a strategy to address fundamental salary issues, and CCF funding and related authority has created important new opportunities. We look forward to working together with departments and other units to make the most of these opportunities, and to identify and address the most urgent market, retention, and equity concerns for our valued faculty and staff.

Cc: Steve Lund, Steve Stern, L&S Admin

Attachments:

L&S Academic Staff and Limited Employee CCF Process
L&S Faculty CCF Process
Schedule for L&S Faculty Market Equity Reviews (3 Year Cycle)
L&S Academic Staff and Limited Employee CCF Recommendation form
L&S Faculty CCF Recommendation form

(continued)

Appendix 3, cont'd.

L&S Academic Staff and Limited Employee CCF Process

Eligibility:

- *General Criteria*: As outlined in the original CCF announcements from campus, salary adjustments for Academic Staff and Limited Employees are to address market, retention, and equity concerns, with meritorious performance a necessary but not sufficient justification.

- Academic Staff and Limited Employees who recently started their current position, or who recently received a base salary adjustment, should not receive first consideration, but may still be considered.

Scope and Funding:

- CCF policies allow L&S to support adjustments for no more than 30 percent of Academic Staff overall, and no more than one Academic Staff person or 30 percent of Academic Staff in a unit, whichever is greater.

- It is critical to have a strong review process in place with appropriate justification for requests. Please consult with all supervisors of academic staff in your unit to be sure all eligible staff are considered.

    - Units with 3 or more Academic Staff will be invited to submit requests to allocate an estimated pool of CCF resources to support salary increases for up to 30 percent of Academic Staff. The estimated resources will be sufficient to provide the minimum 5% raise to 30% of the unit's average-paid Academic Staff.

    - Units with fewer than 3 Academic Staff will be invited to nominate at most one Academic Staff person. Nominations from these units will be reviewed and ranked by an external review committee, so that 30% of Academic Staff from smaller units also receive salary adjustments.

- Departments may request raises of no less than 5 percent or $3000, whichever is higher. The maximum increase is 10 percent for each eligible Academic Staff or Limited Employee.

    - To support approved CCF adjustments for 101-funded Academic Staff, L&S expects to provide funding equivalent to the 5% minimum adjustment for average paid Academic Staff in the unit; approved adjustments in excess of the CCF allocation will be funded jointly by L&S and the unit. L&S will provide 50% of additional funding required for approved salary adjustments, up to half the unit's original CCF allocation associated with 101-funded Academic Staff. The remaining funding will be drawn from Innovations savings in the unit's base budget.

    - Approved CCF adjustments for non-101 funded Academic Staff will be covered from funding sources currently used for those staff.

    - CCF funding presumes that the 30 percent of Academic Staff receiving salary adjustments will not be disproportionally drawn from 101-funded Academic Staff (eligible for CCF resources). Units with a mix of 101 and non-101 funded Academic Staff that recommend a disproportionately large share of salary adjustments for 101-funded staff may be asked to offset additional costs.

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(continued)

- No more than 30% of all Limited Employees may receive CCF adjustments. Units with fewer than 3 Limited Employees may recommend a maximum of one Limited Employee for a salary adjustment. Units recommending Limited Employees for a salary adjustment may be asked for an alternative recommendation should we receive recommendations for more than 30% of all Limited Employees in the College.

Recommendation Format and Due Dates:

- Your department will receive a department-specific list of 101 and non-101 Academic Staff and Limited Employees by September 4.

- Your department will also receive, by September 4, confirmation of staff size (greater than or less than 3 total Academic Staff and/or Limited Employees). In addition, those with more than 3 staff, at least some 101-funded, will receive information on their maximum dollar allocation of CCF resources that may be applied to salary increases for 101-funded Academic Staff.

    - Departments with more than 3 Academic Staff and/or Limited Employees: Recommendations should be accompanied by a completed CCF request form (attached) for each recommended salary adjustment, and a completed summary spreadsheet showing the distribution of the CCF allocation and any contribution from the department budget. L&S will review the allocation of salary increases, along with the funding and the required justification, and will confirm the adjustments.

    - Departments with fewer than 3 Academic Staff and/or Limited Employees: A recommendation for <u>at most</u> one Academic Staff and/or Limited Employee should be submitted using the attached CCF request form. Information on the department contribution to the recommended raise (if over 5% requested) is to be provided in the justification. Nominations from these units will be reviewed and ranked by an external review committee, so that 30% of Academic Staff and/or Limited Employees from smaller units also receive salary adjustments. L&S will review the funding and confirm approved adjustments.

- **Recommendations for Academic Staff and/or Limited Employee salary adjustments will be due to L&S no later than Wednesday September 26th**, in order that approved salary adjustments may take effect with the next pay period (9/27/12 for 9 month or 10/1/12 for 12 month Academic Staff). Units requiring additional time to consider their recommendations may submit final recommendations **no later than Monday October 22**, in order that approved salary adjustments may take effect in the following pay period (10/27/12 for 9 month or 11/1/12 for 12 month Academic Staff).

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(continued)

Appendix 3, cont'd.

L&S Faculty CCF Process

Eligibility:

- *General Criteria*: As outlined in the original CCF announcements from campus, faculty salary adjustments are to address market, retention, and equity concerns, with meritorious performance a necessary but not sufficient justification. Those hired within the last three years, or who received a market rate base adjustment for retention purposes within the last three years, should not receive first consideration.

- *Timing of 3 year cycle:* CCF resources will be used to support our previously planned three year cycle of market equity faculty salary adjustments. Faculty are eligible for consideration three years after initial UW faculty appointment, and every three years thereafter (see attached chart). Year 1 faculty should be considered for the current round of adjustments (Year 2 faculty will be eligible to be considered for adjustments effective in 2013-14, and Year 3 faculty for adjustments effective in 2014-15). Departments may request salary adjustments for all eligible faculty, if adjustments would be consistent with the General Criteria (above), and if department matching funds are available. In the absence of department matching funds, departments may request salary adjustments for 30 percent of eligible faculty over the full three year cycle, as discussed in Option 2 below.

Scope and Funding:

- Resources for the three year cycle of strategic faculty salary adjustments will be drawn from a combination of CCF, L&S and department resources from innovations. Innovations resources are those generated by approved innovation plans. These plans may include, for example, curricular innovations that allow the department to effectively serve the same number of undergraduates with fewer faculty or TAs, reorganizations that reduce administrative staff, or income-generating programs.

- We expect most departments will opt to partner with the College to supplement the resources available for faculty salary adjustments. In that case, the College will provide at least one-third of salary adjustments, with the remaining two-thirds provided by the department share of funds made available through innovations (i.e. the college will "match" every 2 dollars of funding from department innovations with 1 dollar of additional support from the college). In some cases, for example when salary gaps are unusually large (relative to other departments in the college), a higher match rate may be provided. Departments opting to supplement the pool of resources with department innovations funds may request raises of no less than 5 percent and no more than 10 percent for each eligible faculty member. Note, in these departments up to 100% of all eligible faculty may receive adjustments over the full three year cycle. **(Option 1)**

- Alternatively, departments may opt to use CCF resources to provide a 5% increase for up to 30% of faculty eligible in Year 1. Note, in these departments, a maximum of 30% of all eligible faculty may receive adjustments over the full three year cycle. **(Option 2)**

- We expect the same match rate to apply for the full three-year cycle and for retention and supplementary promotional base adjustments over this period. The choice of Option 1 or Option 2 for CCF will not alter the match available for other approved adjustments.

(continued)

Appendix 3, cont'd.

Recommendation Format and Due Dates:

- Your department will receive a department-specific list of faculty, with year of hire and eligibility (Year 1, 2, or 3) by September 4.

- Your department will also receive, no later than September 4, confirmation of the match rate. We expect this rate to be applied across all three years of this cycle of market equity salary adjustments, as well as to any salary adjustments related to promotions or retentions over this period. (If your department is considering Option 2, please contact Associate Dean Maria Cancian for additional details on the available resources, which will be equivalent to 5% of 30% of the salaries of faculty eligible this year (i.e. Year 1 faculty who have not had a base adjustment in the last 3 years).

- Recommendations should be accompanied by a completed Faculty CCF request form (attached) for each recommended salary adjustment, and a completed summary spreadsheet showing the distribution of the CCF allocation and contributions from the department budget. L&S will review the allocation of salary increases, along with the funding, and will confirm the adjustments.

- **Recommendations for faculty salary adjustments will be due to L&S by Wednesday September 26th** in order that approved salary adjustments may take effect with the next pay period (9/27/12 for 9 month or 10/1/12 for 12 month faculty). Units requiring additional time to consider their recommendations may submit final recommendations **no later than Monday October 22**, in order that approved salary adjustments may take effect in the following pay period (10/27/12 for 9 month or 11/1/12 for 12 month faculty).

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(continued)

Appendix 3, cont'd.

Schedule of L&S Faculty CCF and Market Equity Reviews

Year of Reviews and Adjustments through 2017

Calendar Year of Appointment	1st Review	1st potential effective date	2nd Review	2nd potential effective date
2014	*2017 spring*	*2017 fall*		
2013	*2016 spring*	*2016 fall*		
2012	*2015 spring*	*2015 fall*		
2011	2014 spring	2014 fall	*2017 spring*	*2017 fall*
2010	2013 spring	2013 fall	*2016 spring*	*2016 fall*
2009	2012 fall	2012 fall	*2015 spring*	*2015 fall*
2008	2014 spring	2014 fall	*2017 spring*	*2017 fall*
2007	2013 spring	2013 fall	*2016 spring*	*2016 fall*
2006	2012 fall	2012 fall	*2015 spring*	*2015 fall*
2005	2014 spring	2014 fall	*2017 spring*	*2017 fall*
2004	2013 spring	2013 fall	*2016 spring*	*2016 fall*
2003	2012 fall	2012 fall	*2015 spring*	*2015 fall*
2002	2014 spring	2014 fall	*2017 spring*	*2017 fall*
2001	2013 spring	2013 fall	*2016 spring*	*2016 fall*
2000	2012 fall	2012 fall	*2015 spring*	*2015 fall*
1999	2014 spring	2014 fall	*2017 spring*	*2017 fall*
1998	2013 spring	2013 fall	*2016 spring*	*2016 fall*
1997	2012 fall	2012 fall	*2015 spring*	*2015 fall*
1996	2014 spring	2014 fall	*2017 spring*	*2017 fall*
1995	2013 spring	2013 fall	*2016 spring*	*2016 fall*
1994	2012 fall	2012 fall	*2015 spring*	*2015 fall*
1993	2014 spring	2014 fall	*2017 spring*	*2017 fall*
1992	2013 spring	2013 fall	*2016 spring*	*2016 fall*
1991	2012 fall	2012 fall	*2015 spring*	*2015 fall*
1990	2014 spring	2014 fall	*2017 spring*	*2017 fall*
1989	2013 spring	2013 fall	*2016 spring*	*2016 fall*
1988	2012 fall	2012 fall	*2015 spring*	*2015 fall*
1987	2014 spring	2014 fall	*2017 spring*	*2017 fall*
1986	2013 spring	2013 fall	*2016 spring*	*2016 fall*
1985	2012 fall	2012 fall	*2015 spring*	*2015 fall*
1984	2014 spring	2014 fall	*2017 spring*	*2017 fall*
1983	2013 spring	2013 fall	*2016 spring*	*2016 fall*
1982	2012 fall	2012 fall	*2015 spring*	*2015 fall*
1981	2014 spring	2014 fall	*2017 spring*	*2017 fall*
1980	2013 spring	2013 fall	*2016 spring*	*2016 fall*
1979	2012 fall	2012 fall	*2015 spring*	*2015 fall*
1978	2014 spring	2014 fall	*2017 spring*	*2017 fall*
1977	2013 spring	2013 fall	*2016 spring*	*2016 fall*
1976	2012 fall	2012 fall	*2015 spring*	*2015 fall*
1975	2014 spring	2014 fall	*2017 spring*	*2017 fall*
1974	2013 spring	2013 fall	*2016 spring*	*2016 fall*
1973	2012 fall	2012 fall	*2015 spring*	*2015 fall*
1972	2014 spring	2014 fall	*2017 spring*	*2017 fall*
1971	2013 spring	2013 fall	*2016 spring*	*2016 fall*
1970	2012 fall	2012 fall	*2015 spring*	*2015 fall*
1969	2014 spring	2014 fall	*2017 spring*	*2017 fall*
1968	2013 spring	2013 fall	*2016 spring*	*2016 fall*
1967	2012 fall	2012 fall	*2015 spring*	*2015 fall*
1966	2014 spring	2014 fall	*2017 spring*	*2017 fall*
1965	2013 spring	2013 fall	*2016 spring*	*2016 fall*
1964	2012 fall	2012 fall	*2015 spring*	*2015 fall*

Italicized reviews are projected for the second cycle

(continued)

Appendix 3, cont'd.

Schedule of L&S Faculty CCF and Market Equity Reviews

Year of Reviews and Adjustments through 2017

Calendar Year of Appointment	1st Review	1st potential effective date	2nd Review	2nd potential effective date
2014	*2017 spring*	*2017 fall*		
2013	*2016 spring*	*2016 fall*		
2012	*2015 spring*	*2015 fall*		
2011	2014 spring	2014 fall	*2017 spring*	*2017 fall*
2010	2013 spring	2013 fall	*2016 spring*	*2016 fall*
2009	2012 fall	2012 fall	*2015 spring*	*2015 fall*
2008	2014 spring	2014 fall	*2017 spring*	*2017 fall*
2007	2013 spring	2013 fall	*2016 spring*	*2016 fall*
2006	2012 fall	2012 fall	*2015 spring*	*2015 fall*
2005	2014 spring	2014 fall	*2017 spring*	*2017 fall*
2004	2013 spring	2013 fall	*2016 spring*	*2016 fall*
2003	2012 fall	2012 fall	*2015 spring*	*2015 fall*
2002	2014 spring	2014 fall	*2017 spring*	*2017 fall*
2001	2013 spring	2013 fall	*2016 spring*	*2016 fall*
2000	2012 fall	2012 fall	*2015 spring*	*2015 fall*
1999	2014 spring	2014 fall	*2017 spring*	*2017 fall*
1998	2013 spring	2013 fall	*2016 spring*	*2016 fall*
1997	2012 fall	2012 fall	*2015 spring*	*2015 fall*
1996	2014 spring	2014 fall	*2017 spring*	*2017 fall*
1995	2013 spring	2013 fall	*2016 spring*	*2016 fall*
1994	2012 fall	2012 fall	*2015 spring*	*2015 fall*
1993	2014 spring	2014 fall	*2017 spring*	*2017 fall*
1992	2013 spring	2013 fall	*2016 spring*	*2016 fall*
1991	2012 fall	2012 fall	*2015 spring*	*2015 fall*
1990	2014 spring	2014 fall	*2017 spring*	*2017 fall*
1989	2013 spring	2013 fall	*2016 spring*	*2016 fall*
1988	2012 fall	2012 fall	*2015 spring*	*2015 fall*
1987	2014 spring	2014 fall	*2017 spring*	*2017 fall*
1986	2013 spring	2013 fall	*2016 spring*	*2016 fall*
1985	2012 fall	2012 fall	*2015 spring*	*2015 fall*
1984	2014 spring	2014 fall	*2017 spring*	*2017 fall*
1983	2013 spring	2013 fall	*2016 spring*	*2016 fall*
1982	2012 fall	2012 fall	*2015 spring*	*2015 fall*
1981	2014 spring	2014 fall	*2017 spring*	*2017 fall*
1980	2013 spring	2013 fall	*2016 spring*	*2016 fall*
1979	2012 fall	2012 fall	*2015 spring*	*2015 fall*
1978	2014 spring	2014 fall	*2017 spring*	*2017 fall*
1977	2013 spring	2013 fall	*2016 spring*	*2016 fall*
1976	2012 fall	2012 fall	*2015 spring*	*2015 fall*
1975	2014 spring	2014 fall	*2017 spring*	*2017 fall*
1974	2013 spring	2013 fall	*2016 spring*	*2016 fall*
1973	2012 fall	2012 fall	*2015 spring*	*2015 fall*
1972	2014 spring	2014 fall	*2017 spring*	*2017 fall*
1971	2013 spring	2013 fall	*2016 spring*	*2016 fall*
1970	2012 fall	2012 fall	*2015 spring*	*2015 fall*
1969	2014 spring	2014 fall	*2017 spring*	*2017 fall*
1968	2013 spring	2013 fall	*2016 spring*	*2016 fall*
1967	2012 fall	2012 fall	*2015 spring*	*2015 fall*
1966	2014 spring	2014 fall	*2017 spring*	*2017 fall*
1965	2013 spring	2013 fall	*2016 spring*	*2016 fall*
1964	2012 fall	2012 fall	*2015 spring*	*2015 fall*

Italicized reviews are projected for the second cycle

(continued)

Appendix 4

Critical Compensation Fund Exercise: Review of Results, 31 January 2013

Background:

The CCF (Critical Compensation Fund) exercise in 2012, an initiative undertaken by Chancellor David Ward in collaboration with campus governance and leadership, was the first pay tool in recent years designed to apply to all permanent employee categories. CCF was not a pay plan; adjustments under CCF were limited to no more than 30% of employees. CCF is one useful instrument within an emerging portfolio of pay tools. The resource target for CCF investment was 2% of base payroll.

The decision-making and implementation of CCF was highly decentralized. Central campus instructions provided parameters including GPR and non-GPR allocation targets, and including an expectation (albeit not an absolute requirement) that units meet the targets.

Statistics:

Tables 1 and 2 distill the statistical results of CCF, and inform the narrative points below. Campus-wide data in Table 2 are preliminary; the final data on total number of adjustments and dollars may go up, but not down. More detailed analysis by the Budget Office and APIR, including data on variation across the major units (colleges/schools, divisions), are the foundation for the results summarized here.

Positive Results:

1. Overall reach: The CCF tool increased pay of 3,119 employees and amounted to an investment of $14.64 million. Permanent base adjustments affected 2,414 employees and amounted to $12.72 million. In addition, 705 classified staff received lump-sum awards amounting to $1.92 million. For breakdown by employee category, dollar amounts, and percentage of eligible employees, please see Tables 1-2.

2. Classified staff: The collective campus effort was outstanding. A total of 1,227 persons received awards (base adjustments or lump-sums) amounting to $4.1 million. Permanent base adjustments reached 28.7% of eligible employees, close to the 30% cap.

3. Academic staff: The CCF tool reached 1,270 employees who were awarded $5.73 million. In addition, the CCF empowered some units to make an exceptionally strong effort to respond to long delayed critical needs, in part by topping off central campus allocations with additional internal reallocations. Units that topped off more than 15% included Dean of Students (24.8%), L & S (20.9%), Nelson Institute (18.2%), and SOE (21.6%), University Health Services (39.7%), and University Housing (111.6%).

4. Faculty: The CCF enabled schools/colleges to address critical salary needs through awards to 485 faculty whose adjustments amounted to $3.84 million. (Note: Faculty members are also eligible for other pay-related tools in our portfolio.) Notwithstanding difficulties with achieving non-GPR targets for base adjustments, most schools either achieved 85-99% of their total dollar allocation targets (CALS, SOE, COE, Law, L & S, Nursing, Veterinary Medicine), or exceeded targets through additional internal reallocation (Business, Graduate School, Nelson Institute, Pharmacy, Continuing Studies).

(continued)

Appendix 4, cont'd.

Concerns:

1. Uneven results by employee categories: Academic staff base adjustments relative to target numbers lagged behind those in other employee categories, and academic staff allocation targets were also more dependent on non-GPR allocations. If SMPH is set aside as an arena with highly distinctive budgetary and staffing logics, however, the uneven results disappear. See Tables 1-2.

2. Uneven results by funding source: Comparison of GPR and non-GPR funded results in Tables 1-2 suggests that there was considerably more difficulty meeting the non-GPR dollar targets. For example, CALS made a strong good-faith effort, but the adjustment results varied: 96.3% of GPR target versus 82.5% of non-GPR target. Such gaps were not uncommon.

3. Reconciling global and local logics: The budgetary premises and time lines of the CCF model did not harmonize with the budgetary decision-making logics and needs of some units. Among academic units of large size, SMPH experienced the most difficulty harmonizing its budget model and decision process with the assumptions of the CCF process. See Table 2, note 5.

4. In retrospect, some aspects of the first-time implementation process may have compounded the difficulties or areas of concern.

(a) This was a first-time exercise conducted largely in summer months on short notice, within highly decentralized decision-making and implementation process.
(b) We did not organize an educational preparation process with workshops for chairs and directors, and other key personnel including PIs.
(c) There was no central campus requirement (although there was a stated expectation) that units had to meet dollar targets or a high threshold (e.g., 90%) of targets.
(d) There was not a deferred implementation option in cases of hardship where grant budgets did not align with CCF rules of implementation in the short run.

The good news is that we can learn from the first-time process to improve practices and education for CCF-like or other pay related exercises in the future, and we can share best-practice examples from units that engaged CCF in highly effective ways.

5. Employee morale and good will: Considerable good will among employees accrued from statements by university leaders that we expect to do a future CCF-like exercise (unless a state pay plan and a campus supplemental pay plan eliminate the need) that will make it possible, over time, to consider those employees who could not be considered in the first-time CCF, given the 30% cap on adjustments. Clarity and follow-up about the timing of the next CCF-like exercise, if a meaningful state pay plan is not forthcoming, is important.

[For summary numbers, please see Tables 1-2 on next pages.]

(continued)

Appendix 4, cont'd.

CCF Summary Table 1
Campus-Wide Results Excluding SMPH, 31 January 2013

	All Employees	Academic St	Limited	Classified (broadbanded)	Faculty
Headcounts	**2043 (see note 3)**	**1043**	**116**	**472 (see note 3)**	**412**
Percent of employees	26.7%	27.0%	26.1%	28.5%	24.3
Dollar Amounts Awarded Compared to Dollar Amounts Targeted					
$ amount Awarded	**10.79 million (see note 3)**	**4.70 million**	**0.83 million**	**1.99 million (see note 3)**	**3.28 million**
$ amount Targeted	10. 98 million	4.69 million	0.79 million	2.08 million	3.42 million
Percent of $ target	98.2%	99.8%	104.0%	95.9%	95.7%
GPR Compared to Non-GPR Results					
GPR/ Non-GPR: $ (millions) Awarded	6.73 GPR/ 4.01 Non-	2.10 GPR/ 2.60 Non-	0.63 GPR/ 0.20 Non-	1.19 GPR/ 0.80 Non-	2.81 GPR/ 0.47 Non-
GPR/ Non-GPR: $ (millions) Targeted	6.54 GPR/ 4.44 Non-	2.03 GPR/ 2.66 Non-	0.48 GPR/ 0.32 Non-	1.17 GPR/ 0.91 Non-	2.86 GPR/ 0.55 Non-
GPR/ Non-GPR: % of target awarded	**102.9% GPR 91.4% Non-**	**103.3%GPR 97.8% Non-**	**131.7%GPR 62.7% Non-**	**102.0%GPR/ 88.0% Non-**	**98.1%GPR/ 84.7% Non-**

Technical notes:

1. Head-count data per APIR; $ data per Budget Office; funding sources per 10/12 payroll.
2. GPR = 101 + 402 funds; non-GPR = all others.
3. Classified headcounts in table includes broad-band category and permanent base adjustments only. ***In addition, there were 642 classified lump-sum adjustments amounting to $1.73 million,*** or 116.5% of $ allocation target and 26.8% of eligible employees (FTE basis).
4. For preliminary campus-wide results including SMPH, please see Table 2 including note 5.

(continued)

Appendix 4, cont'd.

CCF Summary Table 2
Campus-Wide *Preliminary* Results Including SMPH, 31 January 2013

	All Employees	Academic St	Limited	Classified (broadbanded)	Faculty
Headcounts	**2414 (see note 3)**	**1270**	**137**	**522 (see note 3)**	**485**
Percent of employees	22.5%	20.2%	27.2%	28.7%	22.8%
Dollar Amounts Awarded Compared to Dollar Amounts Targeted					
$ amount Awarded	**12.72 million (see note 3)**	**5.73 million**	**0.98 million**	**2.18 million (see note 3)**	**3.84 million**
$ amount Targeted	15.23 million	7.67 million	0.93 million	2.27	4.37 million
Percent of $ target	83.5%	74.7%	106.1%	95.9%	87.9%
GPR Compared to Non-GPR Results					
GPR/ Non-GPR: $ (millions) Awarded	7.20 GPR/ 5.52 Non-	2.23GPR/ 3.50 Non-	0.69 GPR/ 0.29 Non-	1.27 GPR/ 0.91 Non-	3.02 GPR/ 0.82 Non-
GPR/ Non-GPR: $ (millions) Targeted	7.46 GPR/ 7.77 Non-	2.42 GPR/ 5.25 Non-	0.54 GPR/ 0.39 Non-	1.26 GPR/ 1.01 Non-	3.25 GPR/ 1.11 Non-
GPR/ Non-GPR: % of target awarded	**96.6% GPR 71.0% Non-**	**92.3% GPR 66.6% Non-**	**128.1%GPR 75.6% Non-**	**100.8%GPR/ 89.8% Non-**	**92.9%GPR/ 73.8% Non-**

Technical notes:

1. Head-count data per APIR; $ data per Budget Office; funding sources per 10/12 payroll.
2. GPR = 101 + 402 funds; non-GPR = all others.
3. Classified headcounts in table includes broad-band category and permanent base adjustments only. ***In addition, there were 705 classified lump-sum adjustments amounting to $1.92 million,*** or 103.3% of $ allocation target and 24.6% of eligible employees (FTE basis).
4. The current preliminary estimate of unspent GPR allocations (excluding top-off effects when some units exceeded GPR allocations based on their own additional internal reallocations) is as follows: 898K, divided as follows: 329K academic staff, 57K limited, 96K classified, 416K faculty. Note that this estimate will change as a function of updated information; see note 5.
5. Among the academic schools/colleges whose scale of operation is large enough to affect campus-wide figures significantly, the SMPH relies on a distinctive budgetary model and logic, with major reliance on clinical revenues in combination with non-GPR grant revenues and GPR revenues. In addition, central campus data is not fully up to date on all SMPH adjustments and funding splits; final data on number of awards and dollars may go up, but not down. It is therefore important to consider also the campus-wide pattern of results with the SMPH factor removed. These are given in Table 1.

(continued)

Appendix 5

DISTRIBUTION OF FACULTY CRITICAL COMPENSATION FUND (CCF)
SALARY ADJUSTMENTS BY CAMPUS UNIT

Unit	Total faculty	Faculty with CCF	% of faculty with CCF	Total annual CCF amount	Mean CCF amount	Minimum amount	Maximum amount
CALS	263	73	28%	476,042	6,521	3,244	17,000
Education	131	31	24%	196,903	6,352	3,500	18,839
Engineering	182	51	28%	377,809	7,408	4,250	20,924
SOHE	35	4	11%	48,477	12,119	8,015	15,880
Env St	8	2	25%	13,198	6,599	4,486	8,712
Law	34	10	29%	84,532	8,453	5,050	15,105
L&S	842	190	23%	1,500,244	7,896	2,825	25,840
WSLH	1	1	100%	5,412	5,412	5,412	5,412
SMPH	429	73	17%	591,405	8,101	3,000	20,891
Nursing	17	7	41%	46,191	6,599	3,450	17,786
Pharmacy	29	8	28%	62,730	7,841	4,316	14,231
Vet Med	48	14	29%	110,209	7,872	5,000	11,200
Cont St	7	3	43%	13,584	4,528	4,496	4,590
TOTAL	2,094	485	23%	3,936,338	8,116	2,825	33,750

SOURCE: HRS EPM data views as of March 20, 2013 NOTES: Total faculty includes all individuals with a paid UW-Madison faculty position as of July 1 ,2012.
Many faculty have more than one tenure home and multiple funding departments. For this table, faculty are assigned to one department only, based on their primary department in HRS. CCF dollar amounts shown are calculated as full-time annualized salary adjustments. Grand Total adjusted for FTE shows the dollar amounts adjusting for those faculty who hold less than full time faculty positions. Prepared by: Office of Academic Planning and Institutional Research 3/26/2013

DISTRIBUTION OF FACULTY CRITICAL COMPENSATION FUND (CCF)
SALARY ADJUSTMENTS BY ACADEMIC RANK

Rank	Total faculty	Faculty with CCF	% of faculty with CCF	Total annual CCF amount	Mean CCF amount	Minimum amount	Maximum amount
Assistant Professor	420	83	20%	537,469	6,476	2,825	17,000
Associate Professor	409	111	27%	754,361	6,796	2,984	21,000
Professor	1265	291	23%	2,644,508	9,088	3,500	33,750
TOTAL	2,094	485	23%	3,936,338			

(continued)

Appendix 6

Distribution of Faculty Critical Compensation Fund (CCF) Salary Adjustments by Gender and Minority Status

Gender	Total Faculty	Count of Faculty with CCF	% of Faculty with CCF	Total CCF Amount	Mean CCF Amount	Minimum Amount	Maximum Amount
F	671	179	27%	1,375,942	7,687	2,825	29,700
M	1423	306	22%	2,550,885	8,336	2,984	33,750

Racial/ Ethnic Minority	Total Faculty	Count of Faculty with CCF	% of Faculty with CCF	Total CCF Amount	Mean CCF Amount	Minimum Amount	Maximum Amount
White	1635	388	24%	3,172,149	8,176	2,825	29,700
Minority	382	90	24%	713,274	7,925	3,500	33,750

Racial/ Ethnic Minority and Gender		Total Faculty	Count of Faculty with CCF	% of Faculty with CCF	Total CCF Amount	Mean CCF Amount	Minimum Amount	Maximum Amount
White	F	517	142	27%	1,092,830	7,696	2,825	29,700
	M	1118	246	22%	2,079,319	8,453	2,984	28,658
Minority	F	131	34	26%	264,296	7,773	3,500	27,000
	M	251	56	22%	448,978	8,017	3,750	33,750

Faculty Rank and Gender		Total Faculty	Count of Faculty with CCF	% of Faculty with CCF	Total CCF Amount	Mean CCF Amount	Minimum Amount	Maximum Amount
ASSISTANT	F	173	37	21%	220,199	5,951	2,825	14,475
	M	247	46	19%	317,270	6,897	3,000	17,000
ASSOCIATE	F	171	52	30%	349,462	6,720	3,450	18,839
	M	238	59	25%	404,899	6,863	2,984	21,000

(continued)

Appendix 6, cont'd.

PROFESSOR	F	327	90	28%	806,281	8,959	3,565	29,700
	M	938	201	21%	1,828,716	9,098	3,500	33,750

SOURCE: HRS EPM data views as of March 20, 2013
NOTES: Total faculty includes all individuals with a paid UW-Madison faculty position as of July 1 ,2012.

Minority faculty are those who reported their ethnic/racial heritage as Hispanic, Asian, Black, American Indian, or two or more races. CCF dollar amounts shown are calculated as full-time annualized salary adjustments.
Prepared by: Office of Academic Planning and Institutional Research 4/12/13