

THE UNIVERSITY OF TEXAS AT DALLAS BUDGET/HUMAN RESOURCES POLICY FY 2007

(Last Revision: 09/01/2006: This document takes precedence over all previous Budget/Human Resources Policy statements.)

SECTION 1 GENERAL

1.1 NEW YEAR ANNOUNCEMENTS

- 1.1.1 **Termination Vacation/Sick Pay:** Account Managers are no longer required to prepare BAFs for vacation and/or sick pay for terminating employees. The funding for this benefit is now being managed centrally. (See Section 2.2.3)
- 1.1.2 **Operating Expense Budget Subcode:** Account Managers are no longer required to transfer funds between Travel, M&O, and Capital on a single account. The budgets for these subcodes have been collapsed into subcode 4000 – Budget Other Expenses.
- 1.1.3 **Centralized Benefit Budgets:** Benefit budgets are centralized for all accounts funded from General University Budgets. After each payroll cycle, an automated budget transfer moves funding for benefits from the benefit budget pool to the accounts where benefits have been charged.

1.2 DEFINITIONS

1.2.1 Forms

- 1.2.1.1 **Budget Adjustment Form (BAF):** Form used to transfer budget between accounts. The electronic form is available within the Budget Information System (BIS).
- 1.2.1.2 **Intra/Interdepartmental Transfer (IDT):** Form used to transfer revenues and expenditures from one account to another. The electronic form is available online under E-forms: <http://www.utdallas.edu/ir/tcs/eforms/> Please contact the Office of Finance for instructions.
- 1.2.1.3 **Personnel Action Form (PAF):** Form used to begin, change, or terminate an employee's assignment and/or position funding. The electronic form is available online under E-forms: <http://www.utdallas.edu/ir/tcs/eforms/>
- 1.2.1.4 **Position Allocation Notice (PAN):** Memorandum issued by Human Resources Management reporting the outcome of a job audit. The PAN reports the new position title and salary grade.
- 1.2.1.5 **Request for New Account:** Form used to request a new account. The electronic form is available within the Budget Information System (BIS).
- 1.2.1.6 **Justification for Starting Compensation Rate:** Form used during the completion of the job offer request paperwork to justify the requested starting rate for a new or transferring employee. The electronic form is available on the Human Resources Management website: http://www.utdallas.edu/utdgeneral/business/hr/Justification_for_Starting_Compensation_Rate.pdf

1.2.2 Terminology

- 1.2.2.1 **Map Code:** Defines the general ledger account associated with a subsidiary ledger account. The map code can be found on the upper right-side of screen 019, under the department code. (Add 0 to the beginning of the map code to determine the general ledger account)
- 1.2.2.2 **General Ledger (GL) Account:** The general ledger account is the upper-level account where fund balances are maintained. These accounts begin with 0 and can be viewed on screen 018 and MFB.
- 1.2.2.3 **Subsidiary Ledger (SL) Account:** The subsidiary ledger account is the lower-level account where transactions take place. The sum of these transactions rolls up to the associated general ledger account and change the GL fund balance.
- 1.2.2.4 **Self-Supporting Activities:** A self-supporting activity generates its own revenue and must operate within the revenue it generates.
- 1.2.2.5 **Expense Purpose:** The National Association of College and University Business Officers (NACUBO) defines categories for expenditures, which can be viewed by account on screen 006. Definitions for the expense purposes are available on the Office of Finance website:
<http://finance.utdallas.edu/systems/expense-purposes.html>
 - 1100 – Instruction
 - 1200 – Research
 - 1300 – Public Service
 - 1500 – Academic Support
 - 1600 – Student Services
 - 1700 – Institutional Support
 - 1800 – Operations & Maintenance of Plant
 - 1900 – Scholarships & Fellowships
 - 2100 – Auxiliary Enterprises

1.2.3 Budget Classes

- 1.2.3.1 **General University Budgets:** Includes accounts funded by the following sources (account map code):
 - State Appropriations (10000)
 - Designated Tuition (16000)
 - Foreign Credential Fee (16010)
 - Application Fee (16011)
 - Records Processing Fee (16012)
 - Bursar Fees (16203)
 - Library Acquisition Fee (16217)
 - Undergraduate Advising Fee (16250)
 - Records – Late/Reinstatement Fee (16277)
 - Information Technology Fee (16800)
 - Infrastructure Fee (16990)
 - Graduate Advising Fee (17140)
 - Recreation Facility Fee (18000)
 - Student Union Fee (18002)
 - Student Services Fee (18003)
 - Medical Services Fee (18004)
 - Parking and Traffic (18131)

1.2.3.2 **Service Department Budgets:** 314xxx accounts

1.2.3.3 **Other Designated Budgets:** 3xxxxx accounts that do not use the map codes listed as part of the General University Budgets in 1.2.3.1 and are not Service Budgets in 1.2.3.2

1.2.3.4 **Other Auxiliary Budgets:** 4xxxxx accounts that do not use the map codes listed as part of the General University Budgets in 1.2.3.1

1.2.3.5 **Gift Budgets:** 5xxxxx accounts

1.2.3.6 **Contract and Grant Budgets:** 6xxxxx accounts

1.2.3.7 **Plant Funds:** 7xxxxx accounts

1.3 EXCEPTIONS TO BUDGET/HUMAN RESOURCES POLICY

The President must approve any exceptions to this policy in writing.

SECTION 2 BUDGET CONTROL

2.1 GENERAL POLICIES

Each **Account Manager** is responsible for ensuring that all commitments and expenditures are within the limits of the related budget. No commitments or payments should be made without identification of adequate qualified funding.

- 2.1.1 Transactions for all accounts are subject to the available budget balances.
 - 2.1.1.1 Adequate account and budget pool balance must be in the funding account prior to the processing of requisitions, purchase vouchers, business expense reimbursements, travel vouchers, and travel advances by **Procurement**.
 - 2.1.1.2 Adequate account and subcode balance must be in the funding account before any position change is posted by the **Budget Office**.
 - For all non-general university budget accounts, adequate funding includes adequate provision for Fringe Benefit costs in the 2000 subcode.
 - **Budget Office** verifies availability of funds for all accounts except Contracts & Grants.
 - **OSP** verifies availability of funds for positions funded from Contracts & Grants accounts (6xxxxx).
 - 2.1.1.3 **Payroll** will not process requests for additional payments without adequate budget funding in the correct account and budget subcode or if the total account balance is deficit.
 - 2.1.1.4 Exceptions may be made in extraordinary circumstances to be approved by the Associate VPBA for Budget or designee.
- 2.1.2 Student Information System items post without regard to budget funding. **Account Managers** are expected to ensure that adequate funding is available to fund all scholarship, grant, and loan commitments.
- 2.1.3 **Fund Balances**
 - 2.1.3.1 Year end budget balances in General University Budgets accounts will revert to University reserves.
 - 2.1.3.2 Year end budget balances in non-general university budgets will close to the related general ledger account identified by the map code.
- 2.1.4 **SL Deficit Policy:** The preferred status is that no deficit exists on any operating account, except in extraordinary circumstances to be approved by the Associate VPBA for Budget or designee.
 - 2.1.4.1 Beginning the first week of October, Deans and Vice Presidents will be provided a monthly deficit report relating to accounts under their authority.
 - 2.1.4.2 Beginning the first week of November, the President will be provided a monthly report of deficit balances.

- 2.1.4.3 For any account, budget deficits can be resolved by using a BAF to transfer in funds from another account using the same funding source, by using an IDT to transfer expenses to a different account, or by using a PAF to change position funding to a different account.
 - 2.1.4.4 In addition to the above, for self-supporting accounts, budget deficits can be resolved by using a BAF to budget prior year funds or increase revenue. See Section 2.4.
 - 2.1.4.5 Each unit is responsible for the resolution of its budget deficits. The President will review budget deficits in State and Designated Tuition accounts at year-end. Unresolved budget deficits in these accounts may be carried forward against the budget for the next fiscal year.
- 2.1.5 **GL Deficit Policy:** The preferred status is that there be no deficit balance in any general ledger account, except in extraordinary circumstances to be approved by the Associate VPBA for Budget or designee.
- 2.1.5.1 During the first two weeks of September, **Budget Office Analysts** will initiate BAFs that were authorized when prior year balances, which had already been committed to the FY2007 budget, were budgeted in FY2006.
 - 2.1.5.2 During the last two weeks of September, **Account Managers** should review the MFB screen of the general ledger account for Projected Available Balance deficits on the left side of the screen. If a deficit exists, the **Account Manager** is expected to reduce the FY2007 expenditure budget to eliminate the estimated year-end deficit.
 - 2.1.5.3 During October, **Budget Office Analysts** will initiate required BAFs for those units that fail to make the required adjustments described in Section 2.1.5.2
 - 2.1.5.4 No BAFs should be processed that will create a Projected Available Balance that is deficit.
 - 2.1.5.4.1 There may be times that the actual fund balance on the right side of the MFB screen shows a deficit balance. This is acceptable as long as the Projected Available Balance on the left side of the MFB screen is not deficit, the revenue estimate is realistic, and actual expenditures do not exceed the expenditure budget.
 - 2.1.5.4.2 In order to prevent creation of GL deficits, it is critical that budgeted revenues never exceed realistic expectations. If, after the budget is developed, additional information is available that indicates that the revenue estimate is not attainable, the **Account Manager** should initiate a BAF to adjust the revenue estimate accordingly. See Section 2.4.
 - 2.1.5.4.3 If **Account Managers** do not initiate appropriate adjustments to address GL deficits during the year, the Associate VPBA for Budget is authorized to direct **Budget Office Analysts** to initiate such adjustments.

2.2 BAFS – GENERAL POLICIES

2.2.1 **Absence Mode:** When the **account manager, dean, or vice president** (or designee) is scheduled to be out the office, that person may choose to register Absence Mode in BIS. This allows the individual to select another person to authorize or approve budget transfer requests in his or her absence. When authority is delegated to another person for approval of BAFs, the **account manager, dean, or vice president** is still responsible.

2.2.2 **Limitations on transfers between accounts funded by these groups:**

Budgets funded by this group:	May only be transferred:
State and Designated Tuition Accounts with map codes 10000 & 16000	To accounts with map codes 10000 & 16000, with the exceptions below.
Research Development Funds (2229xx accounts)	May not be transferred out of the account, except with permission of the Provost and the Associate VPBA for Budget (or designee).
TARP/TATP Accounts (2230xx to 2232xx accounts)	May not be transferred out of the TARP/TATP accounts. (Call the Office of Sponsored Projects at extension 2310 concerning questions about transfers within these accounts)
Special Item Accounts (220200, 220201, and 2239xx accounts)	May not be transferred out of the special item account group, except with permission of the Provost and the Associate VPBA for Budget (or designee).
Foreign Credential Fee (map code 16010)	To accounts with map code 16010
Application Fee (map code 16011)	To accounts with map code 16011
Records Processing Fee (map code 16012)	To accounts with map code 16012
Bursar Fees (map code 16203)	To accounts with map code 16203
Library Acquisition Fee (map code 16217)	To accounts with map code 16217
Undergraduate Advising Fee (map code 16250)	To accounts with map code 16250
Records – Late/Reinstatement Fee (map code 16277)	To accounts with map code 16277
Information Technology Fee (map code 16800)	To accounts with map code 16800
Infrastructure Fee (map code 16990)	To accounts with map code 16990
Graduate Advising Fee (map code 17140)	To accounts with map code 17140
Recreation Facility Fee (map code 18000)	To accounts with map code 18000
Student Union Fee (map code 18002)	To accounts with map code 18002
Student Services Fee (map code 18003)	To accounts with map code 18003
Medical Services Fee (map code 18004)	To accounts with map code 18004
Parking and Traffic Fee (map code 18131)	To accounts with map code 18131
Other Student Fee accounts	To accounts with the same map code
Gift Accounts (5xxxxx Accounts)	In compliance with donor restrictions

- 2.2.3 **Termination Vacation/Sick Pay:** Account Managers will no longer be required to prepare BAFs for vacation and/or sick pay for terminating employees. The funding for this benefit will now be paid from a central pool. A state-funded pool or student fee pool will be charged .7% of salaries and wages in general operating budget accounts to fund the central pool, and other accounts will be charged .7% of their salaries and wages to fund the central pool. Charges will be recorded in subcode 2001.

2.3 BAFS – SALARIES & WAGES

2.3.1 FACULTY SALARY BUDGETS (Subcode 1021, 1031, 1024)

- 2.3.1.1 Funding must be in the appropriate account and subcode before any PAFs will be processed, except in extraordinary circumstances to be approved by the Associate VPBA for Budget or designee.
- 2.3.1.1.1 In some cases, benefit funding is required for new positions and the transfer of positions between sources. See Section 3.5.
- 2.3.1.2 Available budget in faculty salary subcodes cannot be moved to non-faculty salary subcodes, except with the permission of the Provost.
- 2.3.1.3 Available budget in faculty salary subcodes CAN be moved to subcode 4000 – Budget Other Expenses.
- 2.3.1.4 Available budget in faculty salary subcodes can be moved between the various faculty salary subcodes: Faculty 1021, Teaching Assistants 1031, Senior Lecturers 1021, Guest Lecturers 1024.
- 2.3.1.5 Faculty salary budget can be increased by transfers from Enrichment accounts (211x01) and Research Reinvestment Accounts (222x00) only.
- 2.3.1.6 Summer Teaching Budget cannot be moved to provide for costs of the regular academic terms, except as authorized specifically by the Provost.
- 2.3.1.7 Unexpended faculty salary budgets will be available to the Schools to fund Summer Teaching costs.

2.3.2 A&P, CLASSIFIED, AND REGULAR WAGE BUDGETS (Subcodes 1011, 1041, 1050)

- 2.3.2.1 Funding must be in the appropriate account and subcode before any PAFs will be processed, except in extraordinary circumstances to be approved by the Associate VPBA for Budget or designee.
- 2.3.2.2 Available balances created by vacant A&P, classified, and regular wage positions cannot be moved to other positions unless the vacant position is eliminated.
- 2.3.2.3 With the exceptions listed below, available balance created by vacant A&P, classified, and regular wage positions CAN be moved to subcode 4000 – Budget Other Expenses.

- 2.3.2.3.1 Exceptions: Unused A&P and Classified Salaries in Business Affairs and Student Affairs accounts that are funded by General University Budgets will be lapsed monthly to central savings pools identified by source to be allocated by the appropriate Vice President. A&P and Classified Salaries in these areas cannot be moved to subcode 4000 – Budget Other Expenses, except in extraordinary circumstances to be approved by the Associate VPBA for Budget or designee.
- 2.3.2.4 If a position is reclassified between A&P, Classified, and Regular Wage, the related budget for the newly reclassified position can be transferred into the appropriate subcode.
- 2.3.2.5 Transfers from subcode 4000 – Budget Other Expenses to fund increases in current A&P, Classified, and Regular Wage positions or new positions are permitted only under the following condition:
- For non-academic units, the account manager must provide a written agreement to the Budget Office for reduction in baseline M&O funding for the next budget development cycle (permanent budget transfer), in an amount equal to the full annual cost of the new position or position increase, including benefits.
 - Approval by the President's Cabinet is required for FTE increases in accounts funded by General University Budgets (see Section 1.2.3.1).

2.4 BAFS: SELF-SUPPORTING ACTIVITIES

- 2.4.1 Budgeted revenue estimates are expected to be realistic. If it is determined that any budgeted revenue estimate is overstated, the unit must reduce the budgeted revenue.
- 2.4.2 If the reduced revenue estimate would result in a deficit budgeted fund balance, the unit must make necessary reductions in the operating budgets so that the operations are budgeted within available funding.
- 2.4.3 If the budgeted revenue estimate is understated, the unit may increase the budgeted revenue. The reason for increased revenues must be documented. If this increase results in a budgeted fund surplus, the increased revenue may be used to increase the related operating budgets.

SECTION 3 POSITION CONTROL

3.1 FACULTY POSITIONS

- 3.1.1 The Provost is responsible for position control for Faculty positions, and will, therefore, provide any necessary instructions to Deans and others relative to additions of FTE to the Faculty Salary category.
- 3.1.2 Generally, faculty must be appointed for the full nine-month term. This funding can include multiple accounts.
- 3.1.3 Appointments for less than nine months are permitted only if it is anticipated that the position will exist for that lesser portion of the year.
- 3.1.4 Generally, if an account is coded as Expense Purpose 1200 – Research (See Section 1.2.2.5), faculty positions on that account should use Job Class 0612 for the Research Scientist – Faculty.
- 3.1.5 If a faculty member is to be funded in an advising fee account, the person should be given an explicit advising assignment. The Dean should document this assignment by way of a memo to the Provost. A copy of the memo to the Provost should be submitted with the PAF form.
- 3.1.6 All Lecturers hired after the final budget prep work sheets (yellow sheets) have been completed (in August before the fiscal year begins) must be approved by the Provost or designee.

3.2 TEACHING ASSISTANT (TA) POSITIONS

- 3.2.1 TAs must be appointed for nine months.
- 3.2.2 Generally, TAs will be budgeted in Designated Tuition accounts rather than State accounts. See Section 3.5.3 for the TA account list.
- 3.2.3 All TAs hired after the final budget prep work sheets (yellow sheets) have been completed (in August before the fiscal year begins) must be approved by the Provost or designee.

3.3 A&P, CLASSIFIED, AND REGULAR WAGE POSITIONS

- 3.3.1 Generally, persons appointed to A&P, Classified, and Regular Wage positions must be appointed for the full fiscal year. Position funding can include multiple accounts.
- 3.3.2 Appointments for less than twelve months are permitted only if it is anticipated that the position will exist for that lesser portion of the year.
- 3.3.3 **Account Managers** are to ensure that adequate funding is in the appropriate Wage Pool prior to allowing a student or other hourly worker to perform services.
- 3.3.4 Effective immediately for academic units, approval of the Provost is required to fill any vacant A&P and Classified position. The Search Plan for A&P positions and the Job Requisition for Classified positions must be signed by the Provost or designee before it can be processed.

3.4 WORK STUDY / EASE STUDENTS / OTHER STUDENT WORKERS

- 3.4.1 Work Study/EASE assignment start/end dates are determined by the Financial Aid Office and Career Center each year.
- 3.4.2 PAFs for Work Study/EASE assignments must be routed through the Career Center before going to Human Resources Management.
- 3.4.3 Job Class 9996 must be used for Work Study/EASE students.
- 3.4.4 Position funding should be split 25% to the department's account and 75% to the Work Study/EASE account.
- 3.4.5 After the work study end date, a new PAF would be required if a student were to continue employment as non-Work Study/EASE funded 100% by the department.
- 3.4.6 For academic units, all PAFs related to student appointments exceeding \$2000 per semester should be routed to the Provost Office for signature before Budget can process them. The Provost or designee must authorize the appointment before the student begins work.
 - 3.4.6.1 Note: In the case of Work Study/EASE the \$2,000 per semester appointment referred to in Section 3.4.6 refers to the position funding paid by the department, not the total work study award.

3.5 EMPLOYEE BENEFITS

- 3.5.1 Benefit budgets have been centralized for all accounts funded from General University Budgets (See section 1.2.3.1). After each payroll cycle, an automated budget transfer will move funding for benefits from the benefit budget pool to the accounts where benefits have been charged.
- 3.5.2 If adding a new position or transferring a position into accounts funded by the following fees, a one-sided BAF should be prepared to transfer the cost of benefits to the central fee benefit account from the account funding the position. For salaries \$90,000 or more, transfer 25% of the salary; for salaries under \$90,000, transfer 30% of the salary.
 - Foreign Credential Fee (map code 16010)
 - Domestic Application Fee (map code 16011)
 - Records Processing Fee (map code 16012)
 - Bursar Fees (map code 16203)
 - Library Acquisition Fee (map code 16217)
 - Undergraduate Advising Fee (map code 16250)
 - Records – Late/Reinstatement Fee (map code 16277)
 - Information Technology Fee (map code 16800)
 - Infrastructure Fee (map code 16990)
 - Graduate Advising Fee (map code 17140)
 - Recreation Facility Fee (map code 18000)
 - Student Union Fee (map code 18002)
 - Student Services Fee (map code 18003)
 - Medical Services Fee (map code 18004)
 - Parking and Traffic (map code 18131)

3.5.3 Benefit costs for Teaching Assistants (TAs) paid from the following accounts are budgeted and funded centrally. Benefits for TAs assigned to other accounts must be funded by the department.

- 317601 – School of Arts & Humanities – TAs
- 317602 – School of Natural Sciences & Math - TAs
- 317603 – School of Social Sciences - TAs
- 317604 – School of Management - TAs
- 316605 – School of Behavioral and Brain Sciences - TAs
- 317606 – School of General Studies - TAs
- 317607 – School of Engineering and Computer Science - TAs
- 317621 – NS&M – TAs - Physics
- 317622 – NS&M – TAs - Geosciences
- 317623 – NS&M – TAs - Biology
- 317624 – NS&M – TAs – Math Science
- 317628 – NS&M – TAs – Science Education
- 317629 – NS&M – TAs – Chemistry
- 317651 – SUMMER - School of Arts & Humanities – TAs
- 317652 – SUMMER - School of Natural Sciences & Math - TAs
- 317653 – SUMMER - School of Social Sciences - TAs
- 317654 – SUMMER - School of Management - TAs
- 316655 – SUMMER - School of Behavioral and Brain Sciences - TAs
- 317657 – SUMMER - School of Engineering and Computer Science - TAs
- 317661 – SUMMER - NS&M – TAs - Physics
- 317662 – SUMMER - NS&M – TAs - Geosciences
- 317663 – SUMMER - NS&M – TAs - Biology
- 317664 – SUMMER - NS&M – TAs – Math Science
- 317668 – SUMMER - NS&M – TAs – Science Education
- 317669 – SUMMER - NS&M – TAs – Chemistry
- 317672 – E&CS – TAs – Electrical Engineering
- 317674 – E&CS – TAs – Computer Science Program
- 317682 – SUMMER - E&CS – TAs – Electrical Engineering
- 317684 – SUMMER - E&CS – TAs – Computer Science Program

3.5.4 For all non-general university budget accounts, excluding the exceptions listed above, benefit costs are budgeted and paid from the account paying the salary.

3.6 REALLOCATIONS

3.6.1 Requirements:

3.6.1.1 Generally, no reallocations of salaries involving State (2xxxxx) accounts will be allowed. This includes moving costs both from and to State (2xxxxx) accounts.

3.6.1.2 Exceptions are allowed for persons paid with Texas Advanced Technology Program (TATP) and Texas Advanced Research Program (TARP) grants (2230xx and 2232xx accounts).

- These exceptions must be processed within the two month period described in Section 3.6.2.1.

3.6.1.3 Salaries and wages cannot be paid from 9xxxxx accounts; therefore, individuals budgeted in those accounts must be moved to a valid operating budget account with available funding prior to the related payroll deadline.

Failure to move these positions to the appropriate account, along with required funding, and within the appropriate deadline will delay a payroll disbursement to the affected individual.

3.6.2 **Frequency:**

3.6.2.1 Generally, reallocations of salary and wage expenditures may only be processed within two months of the current date, except in extraordinary circumstances to be approved by Payroll.

- For example: If today is March 1st, then reallocations can only go back to January 1st.

3.6.2.2 Year-end Limitation: Reallocation of July expenditures can be accepted only until August 15, and August payroll expenses cannot be reallocated.

3.6.3 **Procedures:**

- (1) Check Labor Distribution Report for position funding issues
- (2) Check for adequate funding in accounts
- (3) Determine whether allocation is within the 2 month policy (see Section 3.6.2.1); If the allocation does not occur within the 2 month policy, contact Payroll for approval
- (4) Complete PAF with new position funding source and route for approvals
- (5) Budget will forward PAF to Payroll for reallocation

SECTION 4 POSITION CHANGES

4.1 GENERAL POLICIES

- 4.1.1 All changes in personnel appointments and salary changes require submission of the appropriate approved HRS forms by the established Payroll deadlines. Please see the Payroll website for the calendar: <http://www.utdallas.edu/BusinessAffairs/Payroll/>
- 4.1.2 Funding must be provided before any actions resulting in a pay increase can be processed, except in extraordinary circumstances to be approved by the Associate VPBA for Budget or designee. See Section 2.3.
- 4.1.3 Provision Forms are required when a personnel action occurs after the next fiscal year's budget has been completed and the personnel action requires funding above the amount budgeted for the position in the next year's budget. This includes new positions, rate of pay changes, promotions, reclassifications, and justifications for starting compensation events. Please use the form on the Budget website: <http://www.utdallas.edu/utdgeneral/business/obir/PROVISION.doc>

4.2 RECLASSIFICATION

- 4.2.1 **Definition:** A reclassification is the change of a current position from one classified title to a different classified title.
- 4.2.2 **Requirements:** Reclassifications are appropriate when the essential duties and responsibilities of a position have markedly changed and must be supported by a classification audit conducted by Human Resources Management (HRM).

- 4.2.3 **Approval:** The Position Description Form (PDF) requesting a job audit must be approved by the appropriate Executive Vice President and Provost, Vice President, or Executive Director.
- 4.2.4 **Frequency:** Positions may not be submitted for audit more than one time within a 12 month period.
- 4.2.5 **Title Changes:** If justified by the classification audit, HRM will authorize use of the appropriate job title via a Position Allocation Notice (PAN).
- 4.2.6 **Salary Changes:** Incumbents in reclassified positions will receive an increase to a salary within the first third of the new salary range commensurate with their job-related education, experience, and skills, or a 3% increase in salary, whichever is higher. However, such employees may not receive more than the maximum rate of their assigned range.

4.3 PROMOTION

- 4.3.1 **Definition:** A promotion is where an existing employee is selected as the most qualified candidate for an existing vacant position.
- 4.3.2 **Requirements:**
 - 4.3.2.1 The vacant position must have been posted (internally posted vacancies satisfy this requirement) in accordance with current Human Resources Management (HRM) guidelines.
 - 4.3.2.2 Written justification for the selection of the employee must be provided.
 - 4.3.2.3 The current performance appraisal for the employee must be on file in HRM.
- 4.3.3 **Approval:** Promotions must be approved by the appropriate Executive Vice President and Provost or Vice President.
- 4.3.4 **Frequency:**
 - 4.3.4.1 The employee must have been employed by UT-Dallas for at least six contiguous months, and
 - 4.3.4.2 At least six months must have lapsed since the employee's last promotion, demotion, or equity adjustment.
 - 4.3.4.2.1 Exception: Police cadets who graduated the Police Academy in less than six months are eligible for reclassification, including a title change and rate change to the base salary for a Police Officer.
- 4.3.5 **Salary Changes:** Classified employees who are promoted to another classified position will receive an increase to a salary within the first third of the new salary range commensurate with their job-related education, experience, and skills, or a 3% increase in salary, whichever is higher. However, such employees may not receive more than the maximum rate of their assigned range.

4.4 LATERAL TRANSFER

- 4.4.1 **Definition:** A lateral transfer is a change-in-duty assignment of an UTD employee that moves the employee to a different classified title in the same salary range of their previous assignment. This applies to transfers within a department and transfers to another department.
- 4.4.2 **Salary Changes:** The salary can be increased, it can remain the same, or it can decrease within the salary range. If an increase is provided, it can be no more than 3% above the pre-transfer salary and cannot exceed the maximum rate of their assigned range.

4.5 EQUITY ADJUSTMENT

- 4.5.1 **Definition:** An equity adjustment is a change in pay rate based on internal salary parity, external labor market parity, or as a counteroffer to a written job offer.
- 4.5.2 **Approval:** Any request for an equity adjustment outside the regular budget process must include a written justification and be recommended by the appropriate Executive Vice President and Provost, Vice President, or Executive Director.
 - Approved exceptions will be included on a monthly report of salary increases provided to the President by the Budget Office.
- 4.5.3 **Frequency:**
 - 4.5.3.1 Generally, equity adjustments will be addressed during the annual budget process to be effective at the beginning of the new fiscal year.
 - 4.5.3.2 During the year, counteroffer equity adjustments may be authorized if:
 - The counteroffer is approved in writing by the appropriate Executive Vice President and Provost, Vice President, or President, and
 - A copy of the written job offer and justification for the specific amount of equity adjustment is attached to the Personnel Action Form (PAF).

4.6 NEW POSITION: INCREASE TO A&P, CLASSIFIED, AND REGULAR WAGE FTE

- 4.6.1 **Approval:**
 - 4.6.1.1 New positions must be approved by the appropriate Executive Vice President and Provost or Vice President.
 - 4.6.1.2 **Special Note:** Approval by the President's Cabinet is required for FTE increases in accounts funded by General University Budgets (see Section 1.2.3.1).
 - 4.6.1.2.1 Exception: Callier Center is exempt from this requirement.
 - 4.6.1.2.2 Movement of positions from other funding sources to accounts funded by General University Budgets (see Section 1.2.3.1) is considered increases in FTE, and this provision applies.

4.6.2 **Frequency:** Generally, new positions should be added during the annual operating budget development process.

4.6.2.1 **Exception:** Positions added outside the annual operating budget development process may be approved by the appropriate Executive Vice President and Provost or Vice President and the President.

4.6.3 **Title:** HRM will authorize use of the appropriate job title via a Position Allocation Notice (PAN).

4.7 NEW HIRES: ESTABLISHING SALARY RATES FOR A&P, CLASSIFIED, AND REGULAR WAGE POSITIONS

Salary ranges for Classified and A&P positions require the approval of the Assistant VPBA for Human Resources Management. A Justification for Starting Compensation Rate form should be attached to the job offer paperwork.

4.7.1 Salary Rates for New Classified Staff

4.7.1.1 **Within the first third:** Subject to availability of funding, administrative unit heads may approve the hiring of classified employees within the first third of the classified salary range. Unit heads should use the following standards when exercising this responsibility:

- Applicants whose job related education, experience and skills match the minimum requirements stated in the job description should start at the range minimum.
- Applicants whose job related education, experience and skills exceed the minimum requirements stated in the job description may be started at a commensurately higher salary within the first third of the range.

4.7.1.2 **Within the second third:** Subject to availability of funding, administrative unit heads may recommend to the Assistant VPBA for Human Resources Management and the appropriate Executive Vice President and Provost, Vice President, or Executive Director the hiring of classified employees within the second third of the classified salary range. Unit heads should use the following standards when exercising this responsibility:

- The applicant has job related education, experience and skills markedly superior to the minimum requirements stated in the job description, and
- The applicant should possess education, skills, and experience equivalent to those of individuals in similar positions who are “mid-career,” or
- An unusual market condition has put a special premium on the particular knowledge and skills required by the job.
- Unit heads should use the Justification for Starting Compensation Rate form, available from Human Resources, to obtain approvals for the recommended starting rate.

4.7.1.3 **Within the upper third:** Subject to availability of funding, administrative unit heads may recommend to the Assistant VPBA for Human Resources Management and the appropriate Executive Vice President and Provost, Vice

President, or Executive Director, and the President of the University the hiring of classified employees within the upper third of the classified salary range. Unit heads should use the following standards when exercising this responsibility:

- Such recommendations to hire above the market rate must be based on unusual circumstances and thoroughly justified.
- Unit heads should use the Justification for Starting Compensation Rate form, available from Human Resources, to obtain approvals for the recommended starting rate.

4.7.2 **Salary Rates for New or Promoted A&P Staff**

The salary of a new Administrative and Professional position or an increase for an employee promoted to an Administrative and Professional position shall be established in consultation with the Assistant VPBA for Human Resources Management and the appropriate Executive Vice President and Provost, Vice President, or Executive Director.

4.8 MERIT INCREASES FOR A&P, CLASSIFIED, AND REGULAR WAGE POSITIONS

4.8.1 **Definition:** A merit increase is a performance-based salary increase granted to an employee whose performance and productivity is consistently above that normally expected and required.

4.8.2 **Requirements:** The current performance appraisal for the employee must be on file in Human Resources Management (HRM).

4.8.3 **Approval:** Merit increases must be approved by the appropriate Executive Vice President and Provost, Vice President, or Executive Director.

4.8.4 **Frequency:**

4.8.4.1 Generally, merit increases for A&P, Classified, and Regular Wage employees are granted as a part of the annual university merit pay plan as approved by the President's Cabinet and implemented during the annual operating budget planning process.

4.8.4.2 With the exception noted below, no merit increases for these groups will be authorized outside the annual university merit pay plan as approved by the President's Cabinet.

4.8.4.3 Exception: Merit increases for positions generally funded entirely from Contract & Grants accounts (6xxxxx) are allowed outside the annual operating budget preparation planning process in limited cases. These are expected to be primarily related to post doc positions.

4.8.4.4 Merit increases may be granted only if the employee has been employed by the university in that position for at least six continuous months before the effective date of the increase, and

4.8.4.5 The effective date of the increase must be at least six months after the employee's last promotion, transfer, or merit salary increase.

4.8.4.6 See **Equity Adjustments** in section 4.5 concerning requests for pay increases as a counteroffer.

4.9 MERIT INCREASES FOR FACULTY POSITIONS

4.9.1 **Definition:** Merit increases for faculty are based on job performance and are granted as a part of the annual university merit pay plan as approved President's Cabinet and implemented during the annual operating budget planning process.

4.9.2 **Frequency:**

4.9.2.1 No merit increases for these groups will be authorized outside the annual university merit pay plan as approved by the President's Cabinet.

4.9.2.2 Merit increases may be granted only if the employee has been employed by the university in that position for at least six continuous months before the effective date of the increase, and

4.9.2.3 The effective date of the increase must be at least six months after the employee's last promotion, transfer, or merit salary increase.