2011 Research Administration Symposium

Faculty Summer Effort: Changes to Duke Policy and Implementation

Keith Hurka-Owen, Director, Office of Research Support

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Jaada Bowens, Financial Management Analyst II, Trinity College of Arts & Sciences
Policy Changes for Summer Supplements on Federal Awards

Keith Hurka-Owen, Director
Office of Research Support
05/11/11

A Little Context, Please!

- NSF Office of the Inspector General identifies 16 schools and audits their effort reporting systems.

- OIG’s Goals:
  - Determine whether or not compensation was properly managed, accounted for, and monitored.
  - Determine if salaries and wages charged to NSF awards were allowable, allocable, and reasonable.
Some Findings

• Cost Transfers
  – Inadequate documentation and approval of cost transfers.
  – Inadequate Justifications.
  – Inadequate follow-up to ensure validity of the cost transfer.

Some More Findings

• Issues Duke Must Address...Soon
  – Labor not directly benefiting the grant was charged directly (e.g., proposal writing, teaching activities).
  – Inability to track committed versus actual effort.
  – Lack of policies or procedures for accurate reporting of uncharged but committed effort.
Duke University Responses

• The 100% Problem.

• Pending Solutions
  – Track committed versus actual effort.
    • Technology: An Effort Commitment Module will be developed.
  – Track uncharged but committed effort.
    • Voluntary Committed Cost sharing. Change Policy?

The Committee

The Schools
• Art & Sciences
• The Nicholas School for the Environment
• The Pratt School of Engineering
• The Sanford School for Public Policy

Central Offices
• The Provost Office
• Internal Audit
• Legal Counsel
• Financial Services
• Office of Sponsored Programs
• Office of Research Support
Committee Goals

- Eliminate the 100% problems.
- Ensure that faculty receive the 3/9ths summer supplement as promised.
- Ensure better alignment of effort with compensation.

The Faculty Handbook

- **Chapter Four:** Nine-Month Appointments.
  - The term of appointment for non-medical faculty on nine-month appointments consists of an eight-month core which corresponds to the academic calendar established by the president each year (usually September through April) and a one-month period outside of the academic calendar. Responsibilities for the one-month outside of the academic calendar may be performed in any of the four remaining months provided that the timing of performance is such that commitments made on externally funded projects are met.
New Policy: Committee Recommendation #1

- Change the summer-effort maximum from 100% per month in three of four months to a maximum of 75% effort per month spread over all four summer months (May, June, July, and August).

New Policy: Committee Recommendation #2

Keep the maximum amount of summer salary allowed at three months but lower the maximum amount of federally-funded effort for which faculty may be compensated during the summer from three to two-and-a-half months.

The additional half month of federally sponsored effort would be performed and paid for during the academic year, and the remaining half summer month would be compensated out of the school funds.
Summary of Key Points

• Compensation is tied to when the effort actually occurs.
• Faculty can no longer take 100% of one month on a federal grant without the Management Center’s approval through the Vice Provost for Research.
• Faculty and business managers should plan the summer distributions early, appropriately spreading effort across the four summer months.
• If a faculty member does not have 2.5 months committed, then the schools’ regular business rules apply.
Policy and Implementation

- **Susan Bonifield**, Associate Dean, Finance and Administration, The Pratt School of Engineering.

Pratt School of Engineering

Faculty Summer Compensation Policy: Implementation & Issues

May 11, 2011
Why is this policy change necessary?

- Compliance
- Compliance
- Compliance
- All federal funding agencies now require that salary be taken when effort is expended. They want you to be paid when you do the work.

What are the 3 main points to take away from the policy?

- Salary should be charged when effort is expended!
- Faculty will no longer be able to charge 3 full months of summer salary to **federally sponsored research**; however, 3 full months of summer salary is still allowed.
- Faculty will no longer be able to take 100% in any given summer month (May-August).
  - Rare exceptions apply
How will this impact us?

- Approximately 50% of our faculty receive 3 full months of summer compensation.

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<tr>
<th>Department</th>
<th># of Faculty</th>
<th># of Faculty Receiving Summer Salary</th>
<th># of Faculty Receiving Three Full Months of Summer Salary</th>
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How will this be implemented?

- Communication & Education
  - First, we make sure everyone (faculty, business managers, grants managers, payroll reps, etc.) understands the policy overall.

- Individualized Circumstances
  - Second, we make sure faculty members understand how the policy impacts them specifically.
What specific steps should we take now?

- Be prepared to answer questions and address concerns.
- Review the list of faculty in your department who have historically taken three full months of summer salary.
- Work with your Department team (Biz Mgr/Gnt Mgr) to develop individualized plans for each specific circumstance.
  - Meet with faculty individually to review their funding portfolio.
  - Rebudget grants if necessary.
  - Begin charging academic year salary to grants when appropriate to build the “bank” for summer.

How will this work in practice?

- The theory is that academic year salary and fringe benefits will be “banked” throughout the year and then faculty will have the ability to use that “banked” money to pay summer compensation.
- This is much more complicated than it sounds, but we can do it!
How will this change our shared salary policy?

- The Faculty Budget Advisory Committee is charged with reviewing the shared salary policy in light of the summer compensation changes.
- The commitment is to modify the shared salary policy so that “banking” funds for summer compensation is done first with the shared salary split still applied to all remaining academic year salary in the “bank”.

Basic Example

- Faculty member A has an academic year (9 months) salary of $90,000; one-ninth is $10,000. Work occurs throughout the academic year and in the summer on an NIH grant for which 2 total months are budgeted; work occurs throughout the summer on an NSF grant for which one total summer month is budgeted; and work occurs during June and August on a DARPA grant for which ½ month is budgeted.

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The shared salary process will remain much the same. The timing of the transfer of funds will likely be the only change.

**Current Process**
- Academic Year Salary
- Department Faculty Salary Code
- Grants
- Savings Generated Apply Shared Salary Policy
- Dept Faculty Member

**New Process**
- Academic Year Salary
- Department Faculty Salary Code
- Grants
- Savings Generated & Banked
- Summer Salary Paid
- Shared Salary Policy Applied to Remaining Funds
- Dept Faculty Member

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**Faculty Summary Salary**

Year 1 Implementation
Arts & Sciences Overview
May 11, 2011
Faculty Summer Salary

- UniversityWide Goals

New Summer Salary Policy

- To ensure that the 3/9ths summer supplement policy is honored

- To eliminate the 100% problem of:
  - No significant vacation time in a 100% committed month
  - No other projects are allowed in a 100% committed month

- To allow better alignment of effort with compensation by providing flexibility for planning the summer’s work schedule and sufficient funding to compensate for non-federal effort

May 2011-June 2011
Initiate Supplemental Payment iForms

February 2011-April 2011
The Biggest Hurdle
Implementation – Trying to provide tools that would aid in the implementation of the new policy, learning the many different scenarios that existed, Faculty and staff fully understanding the new status quo and our office, the Office of Finance and Administration, and Grant Managers overall implementation of the new policy

December 2010-January 2011
Department Business Managers and Grant Managers discussed the New Policy with Faculty

December 2010
Arts & Sciences Department Business Managers and Grant Managers are notified of the New Summer Salary Policy

December 8, 2010
Faculty Summer Supplement Memo from Jim Siedow
Faculty Summer Salary

• Summer Supplement Pay – New Policy

The New Status Quo

– Maximum of 75% effort per month spread over all four summer months (July, August, May and June) for those supported with federal funding
– Maintain the maximum amount of summer salary allowed at three months, but lower the maximum amount of federally-funded effort for which faculty may be compensated during the summer months from 3 to 2.5 months

– The additional half month of federally sponsored effort would be committed, performed and paid for during the academic year. This practice would create a salary savings pool in Arts & Sciences’ budget and from this savings pool, the remaining half summer month would be paid to achieve a full three months of summer salary.
Faculty Summer Salary
Arts & Sciences

• Academic Year Salary Recovery

  – Faculty are compensated for research effort during the academic year from their
    grants and contracts via a Cost Distribution iForm initiated within the department

  – The School realizes a savings. Arts & Sciences will transfer the salary + fringe
    benefits into a central discretionary code (451-5744)

  – These funds are made available to the faculty member to cover the .5/9th during the
    summer via a Supplemental Payment iForm which includes the amount to be
    charged to the federal grant (not to exceed .75/9ths) and the amount to be charged to
    the central discretionary fund (not to exceed .5/9ths)

  – This is closely tracked and monitored in the Office of Finance and Administration

• What we had to keep in mind.

  – Determine if the funding source is federal or not

  – The new policy applies to federally sponsored grants and federal flow
    through grants only.

  – Plan ahead.

  – Only .5/9ths per fiscal year will be moved to the central discretionary
    fund.

  – Review each faculty on a case by case basis. The likelihood of two
    situations being exactly alike is very unlikely. Plan ahead.

  – Review each faculty member’s budget year and available grant funds
    and the months to be paid. Plan ahead.

  – Beginning FY12, if a faculty member’s summer salary is 2.5 ninths or
    less, the distribution within the summer months will change, but an
    allocation of academic year salary is not always necessary. Plan ahead.
Summer Salary Funding Sources

- **Authorized**
  - Top-ups from Arts & Sciences backstop funds
    - Notifying our office is required
  - Research Funds
    - As long as the faculty member understands the implications – i.e. fringes being charged
  - Own Discretionary Funds
  - Non-federal grants
  - Arts & Sciences central discretionary fund from the savings pool created from effort being committed, performed and paid during the academic year
    - Request Form is needed

- **Unauthorized**
  - Start-up funds
    - May be approved but on a case by case basis
    - “The intent of a startup fund is to provide the infrastructure to jump start a faculty research program, which is a separate issue from faculty salary…”
  - Exceeding .75/9ths per month of summer supplemental pay on federal grants or federal flow-through grants
  - Exceeding 2.5 ninths of summer supplemental pay during an entire fiscal year on federal grants or federal flow-through grants

Trinity College of Arts & Sciences
Faculty Summer Salary Tools
Faculty Summer Salary
Arts & Sciences – An Overview

Align effort and compensation

Federally-Sponsored Research Grants
Federally-Sponsored Research Grants and Non Federal Funds
Non-Federal Funds

Trinity College of Arts & Sciences Tools
An Overview

1. Identify all funding sources – NIH, NSF, federal-flow through dollars, etc.
2. Determine the total ninths to be paid in the fiscal year
3. Use the NIH Salary Cap Worksheet and the Trinity College of Arts and Sciences Faculty Summer Salary Worksheet to help you determine the total ninths charged to the federally-sponsored research grants and the total ninths charged to the non-federal funds
4. The maximum amount of salary that can be charged to non-federal funds during a fiscal year is 3/9ths for a faculty member with a nine-month appointment
5. If the faculty member does not have any non-federal funds to top-up his salary to a full ninth, the remaining half month of effort and salary can be committed, performed and paid in the academic year
6. This will better align effort and compensation
   i. Initiate a Cost Distribution iForm charging a portion of the faculty member's salary to the grant. Within the Comments section of the iForm, note 'Savings pool for summer salary'.
   ii. This will create a salary savings pool. Upon notification from the department with the submission of the Trinity College of Arts & Sciences Faculty Summer Salary Request Form and with the initiation of the Cost Distribution iForm, Arts & Sciences will transfer the salary savings to a central discretionary fund.
   iii. From the central discretionary fund, a maximum of 5/9ths of the previous academic year's monthly salary and applicable fringes will be used to pay the extra half month of salary and applicable fringes needed to achieve a full three months of summer salary.
   iv. Initiate a Supplemental Payment iForm during the summer months of May, June, July and August keeping the above policies and limits in mind.
### Faculty Summer Salary Worksheet, page 1

<table>
<thead>
<tr>
<th>Faculty Member:</th>
<th>Fiscal Year:</th>
<th>Enter the IBS</th>
<th>Type of Appointment:</th>
<th>9</th>
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<td>Enter the IBS</td>
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<td>Total 9ths in FY: 0.00</td>
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<td>Max 7.5 months:</td>
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<td>Total 9ths Available in FY: 3.00</td>
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Enter the account code, G/L and the dollar amount(s) that will be charged to federally sponsored research grants & non-federal funds in the fields below. Remember, the total amount charged to a project (grant plus cost share) is included in the .75/9ths max. per month.

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Total 9ths on Federal Sponsored Research Grants: 0.00 | Okay |
Federal Sponsored Research Grants Total: 0.00 | Okay |
Total 9ths on Non-Federal Funds: 0.00 | Okay |
Non-Federal Funds Total: 0.00 | Okay |

### Faculty Summer Salary Worksheet, page 2

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May Total: 0.00 | Okay | 0.00 | Okay |

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<th>Account Code</th>
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<th>Non-Federal Monthly Amount(s)</th>
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June Total: 0.00 | Okay | 0.00 | Okay |

Total 9ths on Federal Sponsored Research Grants: 0.00 | Okay |
Federal Sponsored Research Grants Total: 0.00 | Okay |
Total 9ths on Non-Federal Funds: 0.00 | Okay |
Non-Federal Funds Total: 0.00 | Okay |
Faculty Member: 0

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<th>Fiscal Year Totals</th>
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<td>Total Supplemental Pay:</td>
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<td>Federal Sponsored Research:</td>
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<tr>
<td>Non-Federal Funds Total:</td>
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</tbody>
</table>

*There is a maximum of .75 ninths effort for any summer month supported by federally sponsored funds and a maximum 2.5 summer months in a fiscal year. A maximum of .5 months will be transferred to the central discretionary code for use during the summer if the Office of Finance and Administration is notified.

The totals above should correspond to those on the Summer Salary Request Form which should be completed if central discretionary funds, fund code 451-5744, will be utilized during the summer months. Please note that there are some fields on the Summer Salary Request Form that require you to perform a right mouse click and select 'Update Field' in order to update the fields.

Summer Salary Request Form - Faculty Use Only.doc

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**Faculty Summer Salary
Arts & Sciences**

**• When to Complete the Request Form.**

— Complete the Request Form only for those month(s) when the central discretionary funds are needed

⭐— If summer supplements are for University or other non-federally funded work such as summer session teaching, independent study, special programs or administrative assignments requiring summer effort, compensation up to 100% of one-ninth of a faculty member’s salary can be paid in any three of the four designated summer months (Faculty Handbook, 4-4)
Arts & Sciences Request Form

Trinity College of Arts & Sciences Faculty Summer Salary Request Form

Complete this form only if you will be charging summer salary to federally sponsored research grants AND if the faculty member has requested to use the central discretionary fund.

**Section I: Effective Dates**
- Start Month of Effort
- End Month of Effort

**Section II: Faculty Data**
- Last Name, First Name: 
- DUID:
- Job Code:
- Job Title:
- Rank:  
  - Tenure/Tenure Track (PSA 0009)
  - Other Regular Rank (PSA 0010)
  - Non-Regular Rank (PSA 0011)

**Section III: Summer Salary Calculation**
- 9-month Salary (Base salary for the immediately preceding appointment term):
- Total summer salary months requested:
- Salary for one summer month (1/9th):
  - $0.00

**Section IV: Summer Salary Distribution**

<table>
<thead>
<tr>
<th>Sponsored Research Funds</th>
<th>Account</th>
<th>Dept.</th>
<th>Amount</th>
<th>Month</th>
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</table>

<table>
<thead>
<tr>
<th>Trinity College of Arts &amp; Sciences Funds (Trinity College of Arts &amp; Sciences Funds - may include backstop, cost sharing and the central discretionary fund)</th>
<th>Account</th>
<th>Dept.</th>
<th>Amount</th>
<th>Month</th>
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</table>

Summer Salary to be paid to:
- [ ] May and June
- [ ] May only
- [ ] July and August
- [ ] July only
- [ ] August only

Faculty Member/Date:

Business Manager or Grants Manager/Date:

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**Faculty Summer Salary Arts & Sciences**

- **Why is a Request Form necessary?**
  - Confirmation that the percent of academic year effort is at least the amount that will be submitted on the Supplemental Payment iForm
  - If the amount on the Request Form is more than the academic year effort, another source of funding will be required or a new Cost Distribution iForm will need to be initiated
  - Confirmation of the payment amount prior to the initiation of hundreds of supplemental payments
Faculty Summer Salary
Arts & Sciences

• **Resources**
  – **Faculty Handbook** – Section 4-3 through 4-4, pages 28-29
  – **Arts & Sciences website**
    • Includes Jim Siedows Memo of 12/8/2010, Arts & Sciences worksheets, Request Form and FAQs
  – **The Office of Finance and Administration**
  – **Each other**
  – **Office of Research Support**