Appointment Model – Impact on iForms

IFORM INITIATOR FOCUS

JUNE 15, 2022
Learning Objectives

• Explain Duke University’s new Appointment Model.

• Discuss key terminology and equations critical to completing iForms impacted by the new model.

• Demonstrate application of the new model through iForms impacted by the change.
Appointment Model Overview
Appointment Model Overview

**WHAT?**

- Duke SOM/N is transitioning to a 12-month Faculty Appointment Model effective July 1, 2022
- The Appointment Model will replace current Total Professional Effort (TPE) model
- Effort & IBS will be managed as a percentage of 12 available calendar-months

**WHY?**

- Heightened federal focus on outside activities and levels of commitment
- Enhanced internal controls related to grant/contract submissions, minimum effort requirements, Other Support, DHHS salary cap, & effort supporting DUHS, and VA activities

**HOW?**

- Align with FY23 Salary Setting
- Dept administrators work with faculty to determine Appointment values based on effort, and set salary accordingly
- iForms integration for transactions beginning July 1, 2022
Applicable to **ALL** Schools of Medicine and Nursing regular/non-regular rank faculty

Faculty will have 100% Appointments (12-calendar months), unless they also have any of the following:

- Outside clinical obligations (PDC)
- VA Appointments
- Flexible Work Arrangements
- DKU Appointments
- NUS Appointments
- Other Reduced Schedules

The Appointment % (calendar-months) has **NO** impact on faculty rank or benefits

Based on this, *most* Basic Science Department and SON faculty will have 100% Appointments
What does this change mean for iForm users?

- Impacts all faculty personnel subareas
- New fields available on:
  - Hire iForm
  - Rate and Schedule iForm
- Change in thought processes for data entry when a faculty member’s Duke appointment is <100%:
  - Cost Distribution iForm
  - Cost distribution section of Hire iForm
Key Terminology
# Key Terminology

## Appointment Percentage/Duke Appointment Percentage/University Appointment Percentage

<table>
<thead>
<tr>
<th>Definition</th>
<th>Notes</th>
<th>iForm Impact</th>
</tr>
</thead>
</table>
| • Estimated amount of time spent in support of Duke University activities as described in “Duke University Effort-Mission Descriptions” document | • This effectively replaces Duke Total Professional Effort (TPE)  
• This ultimately will be used to calculate total available calendar months for Duke activities (% x 12 calendar months) | • Entered by initiators on Hire and Rate and Schedule Change iForms  
• Referenced as “Univ Appt Percent” in iForms |

## Annualized Institutional Base Salary (IBS)

<table>
<thead>
<tr>
<th>Definition</th>
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</thead>
</table>
| • The extrapolated total Salary amount that a faculty member would receive from Duke University if they had a 100% Duke Appointment | • Appointment Salary/ University Appointment Percentage = Annualized IBS | • Displayed on Hire and Rate and Schedule iForms  
• System calculated number based on Annualized X and Annualized Y |
### Key Terminology

#### Annualized X

<table>
<thead>
<tr>
<th>Definition</th>
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</tr>
</thead>
<tbody>
<tr>
<td>• The component of Annualized IBS that is standard base pay.</td>
<td></td>
<td>• Entered by initiators on Hire and Rate and Schedule Pay Rate – iForms</td>
</tr>
</tbody>
</table>

#### Annualized Y

<table>
<thead>
<tr>
<th>Definition</th>
<th>Notes</th>
<th>iForm Impact</th>
</tr>
</thead>
<tbody>
<tr>
<td>• The component of Annualized IBS that is supplemental/additional, but</td>
<td>• Temporary Adjustments to Base for Administrative Role (TABFAR) are</td>
<td>• Entered by initiators on Hire and Rate and Schedule Pay Rate – iForms</td>
</tr>
<tr>
<td>that is still a component of total base payroll salary</td>
<td>supplemental payments for administrative roles and are annualized</td>
<td></td>
</tr>
<tr>
<td></td>
<td>and included as part of IBS</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Tied to additional role, so may be discontinued if the role changes</td>
<td></td>
</tr>
</tbody>
</table>
## Key Terminology

### Appointment Salary/Appt Salary/Duke IBS:

<table>
<thead>
<tr>
<th>Definition</th>
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<th>iForm Impact</th>
</tr>
</thead>
<tbody>
<tr>
<td>• The actual Duke University base pay that is paid to a faculty member, annually</td>
<td>• Annualized IBS x Appointment Percentage = Appointment Salary</td>
<td>• Displayed on Hire and Rate and Schedule Pay Rate iForms.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• System calculated number.</td>
</tr>
</tbody>
</table>

### Appointment X/Appt X:

<table>
<thead>
<tr>
<th>Definition</th>
<th>Notes</th>
<th>iForm Impact</th>
</tr>
</thead>
<tbody>
<tr>
<td>• The actual standard Duke University base pay that is paid to a faculty member, annually</td>
<td>• Annualized X x Appointment Percentage = Appointment X</td>
<td>• Displayed on Hire and Rate and Schedule Pay Rate iForms.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• System calculated number.</td>
</tr>
</tbody>
</table>
# Key Terminology

## Appointment Y/Appt Y:

<table>
<thead>
<tr>
<th>Definition</th>
<th>Notes</th>
<th>iForm Impact</th>
</tr>
</thead>
</table>
| • The actual standard Duke University TABFAR paid to a faculty member, annually as part of their payroll salary | • Annualized Y x Appointment Percentage = Appointment Y | • Displayed on Hire and Rate and Schedule Pay Rate iForms.  
• System calculated number. |

## Monthly Salary

<table>
<thead>
<tr>
<th>Definition</th>
<th>Notes</th>
<th>iForm Impact</th>
</tr>
</thead>
</table>
| • The actual Duke University Salary paid to a faculty member monthly | • Appointment Salary/12 months = Monthly Salary | • Displayed on Hire and Rate and Schedule Pay Rate iForms.  
• Cost Distribution iForm calculated using this number.  
• System calculated number. |
Calculations – Univ Appt Percent - %100

Institutional Base Salary

- Annualized X: 258,725.25
- Annualized Y: 0.00
- Univ Apt Percent: 100.00
- Annualized IBS: 258,725.25
- Appt X: 258,725.25
- Appt Y: 0.00
- Appt Salary: 258,725.25
- Monthly Salary: 21,580.40

Annualized X + Annualized Y = Annualized Institutional Base Salary

Annualized X * Univ Appt Percent = Appointment X

Annualized Y * Univ Appt Percent = Appointment Y

Appt X + Appt Y = Appointment Salary

Annualized IBS * Univ Appt Percent = Appointment Salary

Appt Salary / 12 Months = Monthly Salary
Calculations – Univ Appt Percent - <\%100

Institutional Base Salary

<table>
<thead>
<tr>
<th>Description</th>
<th>Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>Annualized X:</td>
<td>196,823.55</td>
</tr>
<tr>
<td>Annualized Y:</td>
<td>10,000.00</td>
</tr>
<tr>
<td>Univ Apt Percent:</td>
<td>20.00</td>
</tr>
<tr>
<td>Annualized IBS:</td>
<td>206,823.55</td>
</tr>
<tr>
<td>Appt X:</td>
<td>39,364.71</td>
</tr>
<tr>
<td>Appt Y:</td>
<td>2,000.00</td>
</tr>
<tr>
<td>Appt Salary:</td>
<td>41,364.71</td>
</tr>
<tr>
<td>Monthly Salary:</td>
<td>3,447.06</td>
</tr>
</tbody>
</table>

VA: N
PDC: N
FWA: N
DKU: N
NUS: N
Sabbatical: N
Other: Y

Annualized X + Annualized Y = Annualized Institutional Base Salary

Annualized X × Univ Appt Percent = Appointment X

Annualized Y × Univ Appt Percent = Appointment Y

Appt X + Appt Y = Appointment Salary

Annualized IBS × Univ Appt Percent = Appointment Salary

Appt Salary ÷ 12 Months = Monthly Salary
IForms
IForm Demonstration

- Hire
- Rate and Schedule
- Employees Details
- Cost Distribution
**Entering Cost Distributions in iForms**

- Distinguishing between Total Effort (Duke + Outside Appointments) equaling 100% and Total Cost Distribution of the Duke Effort only equaling 100%...
  - **Duke Appointment %**: The percentage of 12 calendar months spent in support of Duke University activities; and
  - **Cost Distribution %**: The distribution of pay for Duke appointment activities only across grants/cost centers (iForms) equaling 100%

- **Unless the faculty member has a 100% 12-month Duke University appointment, the iForms cost distribution must be prorated using the faculty’s appointment type and appointment percentage.**

- **No updates to Cost Distribution iForms are planned with the transition to the Duke Appointment Model.**
Let’s use the Dr. Teach example to illustrate:

- Dr. Teach has a 50% Duke 12 month appointment.
- She is PI on an NIH-NCI R01 project (10% minimum effort requirement).
- She has 20% effort devoted on an NIH R21.
- She has 10% protected time because she serves as the Chair of the Dept.
Entering Cost Distributions in iForms

Dr. Teach’s cost distribution would look as follows:

<table>
<thead>
<tr>
<th>Cost Distribution</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>NIH NCI R01</strong></td>
<td>20%</td>
</tr>
<tr>
<td>10% minimum ( \div ) .50 appt % = 20%</td>
<td></td>
</tr>
<tr>
<td><strong>NIH R21</strong></td>
<td>40%</td>
</tr>
<tr>
<td>20% committed effort ( \div ) .50 appt % = 40%</td>
<td></td>
</tr>
<tr>
<td><strong>Academic Protected Time</strong></td>
<td>10%</td>
</tr>
<tr>
<td>10% of Duke appointment time</td>
<td></td>
</tr>
<tr>
<td><strong>Department Operational Code</strong></td>
<td>30%</td>
</tr>
<tr>
<td>Remainder covered by Department to serve as Chair</td>
<td></td>
</tr>
<tr>
<td><strong>Total Distribution</strong></td>
<td>100%</td>
</tr>
</tbody>
</table>

Research effort commitments should be framed as person/calendar months as part of the total available calendar months at Duke.

Depending on your role, you may not know the details of sponsored project requirements; however, understand data accuracy is critical and work with business unit research administrators before submitting iForms.

1.2 months on the R01 & 2.4 months on the R21 should be expressed as a portion of the Duke Appt & available Duke Cal Mos, which is why the iForm % is greater.
Key Take Aways...

Go live for New Appointment Model – July 1, 2022

• Hire and Rate and Schedule iForms for impacted faculty positions in SOM/N
• Quick reference guides and micro-learnings demonstrating iForms will be available

If you are unsure of what information to put in the iForm, don’t guess. Ask.

• Research administrators you support
• The Lead Research Administrator (LRA) or the RASR Zone Director of your unit

Other general info about Duke’s transition to the Appointment Model...

• ApptModel@duke.edu
• MRP>Appointment Model Transition Resources
• Your ORA Representative
Thank you for your support and partnership as we transition to the Appointment Model.