Memorandum concerning effort reporting policy and procedures: Introducing Emory College of Arts and Sciences Summer Salary Savings Program “5% for 3 of 9”

Emory University’s policy regarding effort and effort reporting prohibits faculty from charging 100% effort/salary to a sponsored account in any given month, including summer (June, July, August).

The College has developed the “5% for 3 of 9” program in order to lessen any negative impact that the effort cap may have on faculty who otherwise might charge 100% summer effort to a sponsored project. The “5% for 3 of 9” program provides a means of claiming the remaining 5%, thus permitting 100% compensation. Faculty who plan to devote 95% effort to a sponsored project (or projects) during the summer may secure the remaining 5% salary from release funds arising through academic-year salary recovery. **A faculty member who devotes effort and charges academic year salary (and FB) to a sponsored account of at least 5% for 3 of the 9 months of the academic year (or 2% of her/his 9-month base salary/FB) will save the College sufficient budget funds to allow payment by the College of 5% of salary during the summer months.** The 5% summer effort may be used for research, teaching, and/or administrative work, including University service, teaching preparation, proposal writing, and conference attendance.

The “5% for 3 of 9” program requires that salary (and fringe benefits) be saved in advance. Thus, faculty who wish to participate in the program for Summer 2010 must devote effort to and recover salary (and fringe) from the sponsored project during the 2009/10 academic year.

Participation in the “5% for 3 of 9” program requires that the faculty member complete and return the **Academic Year Salary and Graduate Student Support Recovery Form.** Investigators who recover academic year salary in excess of 5% will benefit from the **Academic Year Salary and Graduate Student Support Recovery** program.

**Example 1:** Professor X has an NIH grant to which s/he devotes 95% effort for June, July, and August (the summer effort quarter). S/he charges the grant for 95% of 1/9 of base salary (plus fringe benefits) for each summer month. Because Professor X also devoted 5% effort to the project during 3 months of the academic year, s/he recovered from NIH the salary (and FB) associated with that effort. The College applies the savings to summer salary for Professor X, thus bringing her/his total compensation to 100%.

**Example 2:** Professor Y has an NIH grant to which s/he devotes 95% effort for June, July, and August (the summer effort quarter). S/he charges the grant for 95% of 1/9 of base salary (plus fringe benefits) for each summer month. Because Professor Y also devoted 5% effort to the project each month of the academic year, s/he recovered from NIH the salary (and FB) associated with that effort. The College applies a portion of the savings to summer salary for Professor Y, thus bringing her/his total compensation to 100%. In addition, because the savings to the College exceeded the amount required for summer salary, Professor Y also qualifies for the **Academic Year Salary and Graduate Student Support** Component of the Research Enhancement Program. As a result, Professor Y and her/his department receive contributions to unrestricted research accounts. The size of the contributions is based on the total savings realized by the College and under Option B, the size of the award.

Approved by Dean Robert Paul on February 2, 2010

Last revised June 2, 2015

To: Faculty and Staff of Emory College of Arts and Sciences
Subject: Memorandum concerning effort reporting policy and procedures

Over the past academic year, the research community of Emory University has seen increased scrutiny of the application of policies and procedures that are designed to ensure that research and scholarship at Emory are carried out with highest regard for professional standards and in full compliance with federal regulations. We acknowledge that some of the steps have served to complicate life, yet they are essential in order to protect our research enterprise as a whole. The attached memorandum from Kerry Peluso, Associate Vice President for Research Administration, and Patricia Bauer, describes an enhanced process to ensure that Emory may continue to enjoy the benefits of external sponsorship for research and scholarship.

The attached memo reminds the Emory community that the amount of effort that can be attributed and charged to an externally sponsored project must accurately reflect time spent on the project(s). For College faculty, the issue of effort (and thus salary) on sponsored projects is especially salient in the summer, when faculty are not on appointment. In theory, during the summer months, faculty are free to devote 100% effort to sponsored projects. Yet many faculty spend a portion of their time in the summer on non-sponsored activities (e.g., administrative functions, student mentoring, developing and writing grant proposals). Because this effort does not directly benefit an ongoing sponsored project, it cannot be charged to it. In recognition of the need to further these non-sponsored activities, and at the same time ensure compliance with federal regulations that only effort that is directly related to a research project can be charged to it, the Office of Research Administration has issued the guideline that, without prior approval (see attached memo for procedure), faculty may not assign more than 95% effort to a sponsored project (or projects) during any summer month. Because the amount of salary that can be charged to a project must be commensurate with the amount of effort devoted to the project, this means that no more than 95% salary can be charged to an external sponsor in any given summer month.

In light of the timing of this guideline, and the financial impact that the 95% ceiling could have on faculty who otherwise would charge 100% effort to a sponsored project(s), for the summer of 2009 only, Emory College of Arts and Sciences will contribute the 5% effort that cannot be charged to an external sponsor. As a result, no faculty member will suffer financially as a result of this new guideline. This applies only to faculty who have a currently funded grant that includes 100% summer support.

For academic year 2009/10 and beyond, the College will develop a program whereby faculty may “save” or “bank” academic year salary upon which they will be able to draw during the summer months. Program details will be announced in advance of the new academic year.

Faculty with National Science Foundation funding who had planned to devote and thus charge 100% effort for 2 summer months may either request approval to certify effort in excess of the ceiling, or
may distribute their effort over 3 summer months (charging no more than 95% effort in any given month).

Emory College thanks you for your efforts to enhance your research and scholarship by securing external sponsorship. The College is pleased to contribute to your efforts by providing this aid to salary support for summer 2009.

Any questions regarding the actions described in this or the attached memo should be directed to Patricia Bauer: 404.712.8460; patricia.bauer@emory.edu.

Office of Sponsored Programs
Office of Grants & Contracts Accounting

MEMORANDUM

To: From:
To all Faculty and Staff
Kerry Peluso, Associate Vice President for Research Administration
Patricia Bauer, Sr. Associate Dean, Emory College
cc: David Wynes, Edie Murphree
Date: March 30, 2009
Subject: Effort reporting policy and procedures

Emory University’s effort policy specifies that only the portion of an individual’s time devoted to a sponsored project may be reflected in the effort certified to that project. This policy applies to individuals on both 12-month and 9-month appointments.

In many cases, faculty on nine month appointments are engaged in activities other than sponsored projects during the summer months. These may include proposal writing, administrative functions, teaching, student mentoring, research on non-sponsored projects, or other activities not directly related to a sponsored project. Time spent on these functions is unallowable to charge to research agreements and is unallowable to certify as effort spent on a sponsored project. Emory University’s effort reporting policy requires that such non-sponsored activities be appropriately reflected in the faculty member’s effort report for the summer quarter (June - August).

As has been past University policy, the effort certified to a project must reflect the actual effort provided to a project. At any time during the year, if a faculty member has administrative responsibilities, teaches, works on proposals and/or conducts any other activities that are not directly related to their research project, they cannot certify 100% of their effort to their grant(s). This includes mentoring students in areas not directly related to and benefiting the research projects to which their effort is certified. Faculty members who hold the position of chair or have other similar administrative responsibilities must have these responsibilities properly reflected in the documentation of their effort.

Any time dedicated to sponsored projects during the academic year by Emory College faculty members should be charged to the sponsored project(s) receiving the direct benefit of the time. The Emory College dollars originally allocated for the faculty member’s salary that are not used as the result of this action may be used to cover part of the same faculty member’s summer salary.
In order to ensure appropriate compliance with federal regulations, nine-month faculty may assign no more than 95% of effort to a sponsored project(s) during any summer month without approval from the Dean and the Associate Vice President for Research Administration.

Any questions regarding the attached policy should be directed to Kerry Peluso's attention at 404-727-0551 or kpeluso@emory.edu. Any questions regarding the allocation of Emory College salary dollars should be directed to Patricia Bauer at 404-712-8460 or patricia.bauer@emory.edu.