

# The Bold and Courageous: Maneuvering the 9- month Faculty Appointment in a 12-month World

**NCURA Region IV – Milwaukee, WI**  
**April 16, 2013**

**UNIVERSITY OF MINNESOTA**



**BOLD**

**&**

**COURAGEOUS**

# 9-month Appointment Emotions



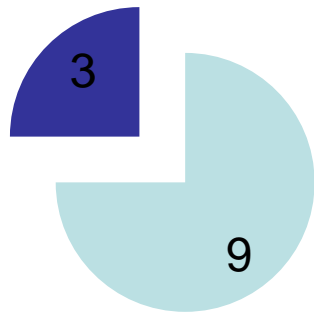
# 9-month Appointment Nirvana



# Learning Objectives

- Participants will learn about 9-month faculty appointments
- Participants will learn how to request salary
- Participants will be taught the importance of monitoring effort
- Participants will see a demonstration of tracking tools for summer salary and commitments

# Describing the 9-month



■ Academic Year (Sept - May)

■ Summer (June - August)

- Faculty academic appointment  
–Teaching, Research, Outreach
- Aligns with the academic calendar

# Details of the 9-month

- Understand the weeks, days and pay periods of your Institution
  - UMN = 39 weeks / 195 days / 19.5 pay periods



- 9/12 Appointments = 9-month salary paid over 12-months
  - UMN = 39 weeks / 195 days / 26 pay periods

# The Summer Months

- Summer months are considered for research purposes or other scholarly time



- Most agencies with the exception of NSF don't talk about 'summer months'



# Preaward - Requesting Salary

- How does the budget identify personnel costs?
  - Calendar months
  - Percentage
  - Hours



# Calendar Months

- PI requests 1 month salary
- Calculate the monthly salary
  - Example:  $\$90,000$  (9-month salary) / 9 months =  $\$10,000$  monthly salary



*Annualization of 9-month appointments vary,  
check with your payroll office*

# Percentage

- PI requests 8% effort
  - Clarify % is for 9-month vs. 12-month
    - 8% = 1 month of 12-month
    - 11% = 1 month of 9-month
- If 12-month, use monthly calculation (prev. slide)
  - 1 month = \$10,000



# # of Hours

- PI requests 240 hours
  - 12-month = 2,080 hours
  - 9-month = 1,560 hours
  - $240/1560 = 15\%$
- Use Monthly Calculation
  - $15\% \times 9 \text{ months} = 1.35 \text{ months} = \$13,500$



# Preaward – Salary Caps

- NIH Salary Cap



- \$179,700 (salary cap) / Institution annual pay periods
  - UMN:  $\$179,700 / 26$  pay periods =  $\$6,911.54$
- \$90,000 / Institution 9-month pay periods
  - UMN:  $\$90,000 / 19.5$  pay periods =  $\$4,615.38$
- $\$4,615.38 < \$6,911.54$ , salary cap ok

# Preaward – Salary Caps

- NSF Salary Cap



- Only 2 months salary for all NSF awards
  - \$10,000/month salary = \$20,000 salary cap
- Confirm current NSF commitments before requesting additional funding
- No cost share for overcommitment
  - PI will need to request reduction

# Requesting Summer Salary

- Collect a summer salary plan
  - Tool will be presented
- Identify vacation weeks
- Confirm commitments
- Convey information to payroll



Instructions: Fill out only the blue shaded cells. You have 3 options of how to enter this information but may only use one of them. Use form #1 if you would like your salary to be paid evenly throughout the summer. Use form #2 if you would like to specify when you will be paid particular amounts from particular accounts and would like to enter a % of pay for each period. Use form #3 if you would like to specify amounts from particular accounts for each pay period and want to enter # of weeks.

Form # 1 - Salary paid evenly throughout summer. Enter # of weeks salary to be paid.

EFS Account String	Agency (or brief description if non-sponsored)	Full Summer	
		Paid %	# Weeks
3002-10000-00011555	NSF Adhesive Properties	60%	6.00
3000-10000-00001234	3M Post-It Notes	40%	4.00
		0%	
		0%	
		0%	
		0%	
		0%	
		0%	
<b>Totals</b>		<b>100%</b>	<b>10.00</b>

For Reference:

2012 Summer Payroll Calendar			
Pay Pd Start	Pay Pd End	Pay Day	Pay Pd Length
5/28/2012	6/3/2012	6/13/2012	1 wk
6/4/2012	6/17/2012	6/27/2012	2 wks
6/18/2012	7/1/2012	7/11/2012	2 wks
7/2/2012	7/15/2012	7/25/2012	2 wks
7/16/2012	7/29/2012	8/8/2012	2 wks
7/30/2012	8/12/2012	8/22/2012	2 wks
8/13/2012	8/26/2012	9/5/2012	2 wks

Form # 2 - Salary paid at specific times from particular accounts. Enter Paid %

EFS Account String	Agency (or brief description if non-sponsored)	5/28/12-6/3/12		6/4/12-6/17/12		6/18/12-7/1/12		7/2/12-7/15/12		7/16/12-7/29/12		7/30/12-8/12/12		8/13/12-8/26/12		Weeks Paid
		Paid %	# Weeks	Paid %	# Weeks	Paid %	# Weeks	Paid %	# Weeks	Paid %	# Weeks	Paid %	# Weeks	Paid %	# Weeks	
3002-10000-00011555	NSF Adhesive Properties	0%	-	0%	-	0%	-	75%	1.50	75%	1.50	100%	2.00	50%	1.00	6.00
3000-10000-00001234	3M Post-It Notes	0%	-	0%	-	100%	2.00	25%	0.50	25%	0.50	0%	-	50%	1.00	4.00
<b>Totals</b>		<b>0%</b>	<b>-</b>	<b>0%</b>	<b>-</b>	<b>100%</b>	<b>2.00</b>	<b>100%</b>	<b>2.00</b>	<b>100%</b>	<b>2.00</b>	<b>100%</b>	<b>2.00</b>	<b>100%</b>	<b>2.00</b>	<b>10.00</b>

Form # 3 - Salary paid at specific times from particular accounts. Enter # of Weeks

EFS Account String	Agency (or brief description if non-sponsored)	5/28/12-6/3/12		6/4/12-6/17/12		6/18/12-7/1/12		7/2/12-7/15/12		7/16/12-7/29/12		7/30/12-8/12/12		8/13/12-8/26/12		Weeks Paid
		Paid %	# Weeks	Paid %	# Weeks	Paid %	# Weeks	Paid %	# Weeks	Paid %	# Weeks	Paid %	# Weeks	Paid %	# Weeks	
3002-10000-00011555	NSF Adhesive Properties	0%	-	0%	-	0%	-	75%	1.50	75%	1.50	100%	2.00	50%	1.00	6.00
3000-10000-00001234	3M Post-It Notes	0%	-	0%	-	100%	2.00	25%	0.50	25%	0.50	0%	-	50%	1.00	4.00
<b>Totals</b>		<b>0%</b>	<b>-</b>	<b>0%</b>	<b>-</b>	<b>100%</b>	<b>2.00</b>	<b>100%</b>	<b>2.00</b>	<b>100%</b>	<b>2.00</b>	<b>100%</b>	<b>2.00</b>	<b>100%</b>	<b>2.00</b>	<b>10.00</b>

Signatures

PI Signature \_\_\_\_\_ Date \_\_\_\_\_

ECE Accounting Signature \_\_\_\_\_ Date \_\_\_\_\_ Other Dept Accounting Signature (if necessary) \_\_\_\_\_ Date \_\_\_\_\_





# Effort Certification

- Restrictions on 100% sponsored summer salary
- Know your 9/12 faculty
  - If effort is driven by payroll, % will be skewed
  - It is ok to see both the academic and summer pay in the summer



# Commitment Monitoring

- Monitor NIH and NSF salary caps
- Confirm paid and unpaid commitments
- Make projections for the future
- Audit payroll entries



**Key**  
 2% .25 mo = 1.08 wks  
 4% .50 mo = 2.17 wks  
 6% .75 mo = 3.25 wks  
 8% 1 mo = 4.33 wks  
**Bold/Red=Planned paid**  
**Bold/Blue=Planned cost share**  
**Black=Actuals paid and/or cs**

Award Info	Project #/Agency me/Nickname Start Date End Date	2 3M		Effort	2 NSF		Effort	2 NIH		Effort	2 NIH		Effort	
		Post-It Notes Best Invention Ever			Adhesive Properties of Balsam Sap			Band-Aids: The New Revolution			Band-Aids: The New Revolution			
		00001234		02/01/09 01/31/14		00011555		07/01/11 06/30/14	05556023		12/01/07 11/30/15	05556023		12/01/07 11/30/15
Effort	Pd Commit CS Commit	0.00 5%	weeks		6.50 0%	weeks		2.17 0%	weeks		0 5%	weeks		
Notes on Commitment		(adac yr cs)			1.5 summer months			0.5 summer months paid commitment			5% cost share commitment			

FY	Pay Period Range Dates	Effort Period	Weekly Commitment	Dollars Paid	# Weeks Pd	Dollars Paid	# Weeks Pd	Dollars Paid	# Weeks Pd	Dollars Paid	# Weeks Pd
FY09	6/9/08-8/31/08	Pd 1	5,285					5,726	2.17	0	0.00
FY09	9/1/08-1/4/09	Pd 2	5,285					0	0.00	3,434	1.30
FY09	1/5/09-6/7/09	Pd 3	5,285	0	0.00			0	0.00	2,772	1.05
FY10	6/8/09-8/30/09	Pd 1	5,444	0	0.00			5,898	2.17	0	0.00
FY10	8/31/09-1/3/10	Pd 2	5,444	2,448	0.90			0	0.00	2,448	0.90
FY10	1/4/10-6/6/10	Pd 3	5,444	2,856	1.05			0	0.00	2,856	1.05
FY11	6/7/10-8/29/10	Pd 1	5,607		0.00			12,149	4.33	0	0.00
FY11	8/30/10-1/16/11	Pd 2	5,607	2,800	1.00			0	0.00	2,800	1.00
FY11	1/17/11-6/19/11	Pd 3	5,607	2,660	0.95			0	0.00	2,660	0.95
FY12	06/20/11-08/28/11	Pd 1	5,775		0.00	2,888	1.00	3,128	1.08	0	0.00
FY12	08/29/11-01/15/12	Pd 2	5,775	2,890	1.00	0	0.00	0	0.00	2,890	1.00
FY12	01/16/12-06/17/12	Pd 3	5,775	2,746	0.95	0	0.00	0	0.00	2,746	0.95
FY13	06/18/12-08/26/12	Pd 1 - SMR 5pp	5,949	11,897	4.00	17,874	6.01	0	0.00	0	0.00
FY13	08/27/12-12/16/12	Pd 1 - Acad 8pp	5,949	2,380	0.80	0	0.00	3,222	1.08	2,380	0.80
FY13	12/17/12-05/26/13	Pd 2 - Acad 11.5pp	5,949	3,421	1.15	0	0.00	0	0.00	3,421	1.15
FY13	05/27/12-06/16/13	Pd 2 - SMR 1.5pp	5,949		0.00	0	0.00	0	0.00	0	0.00
FY14	Jun 13 - Aug 13	Pd 1 - SMR	5,949	0	0.00	20,822	7.00	6,444	2.17	0	0.00
FY14	Aug 13 - Dec 13	Pd 1 - Acad	5,949	2,376	0.80	0	0.00	0	0.00	2,376	0.80
FY14	Dec 13 - May 14	Pd 2 - Acad	5,949	595	0.20	0	0.00	0	0.00	3,416	1.15
FY14	May 14 - Jun 14	Pd 2 - SMR	5,949		0.00	5,949	2.00	0	0.00	0	0.00
FY15	Jun 14 - Aug 14	Pd 1 - SMR	5,949		0.00	1,487	0.50	6,444	2.17	0	0.00
FY15	Aug 14 - Dec 14	Pd 1 - Acad	5,949		0.00	0	0.00	0	0.00	2,376	0.80
FY15	Dec 14 - May 15	Pd 2 - Acad	5,949		0.00	0	0.00	0	0.00	3,416	1.15
FY15	May 15 - Jun 15	Pd 2 - SMR	5,949		0.00	0	0.00	0	0.00	0	0.00
FY16	Jun 15 - Aug 15	Pd 1 - SMR	5,949		0.00	0	0.00	6,444	2.17	0	0.00
FY16	Aug 15 - Dec 15	Pd 1 - Acad	5,949		0.00	0	0.00	0	0.00	1,188	0.40
FY16	Dec 15 - May 16	Pd 2 - Acad	5,949		0.00	0	0.00	0	0.00	0	0.00
FY16	May 16 - Jun 16	Pd 2 - SMR	5,949		0.00	0	0.00	0	0.00	0	0.00
	Number of Grant Years			5.00		3.00		8.00		8.00	
	Total Pd Commit		0.00 weeks			19.49 weeks		17.36 weeks		0.00 weeks	
	Paid Range Minimum		0.00 weeks			14.81 weeks		13.19 weeks		0.00 weeks	
	Paid Range Maximum		0.00 weeks			24.16 weeks		21.53 weeks		0.00 weeks	
	Per Grant Yr Minimum		0.00 weeks			4.94 weeks		1.65 weeks		0.00 weeks	
	Per Grant Yr Maximum		0.00 weeks			8.05 weeks		2.69 weeks		0.00 weeks	
	Actual Effort		12.80 weeks			16.51 weeks		17.33 weeks		14.44 weeks	
			N/A			On Track		On Track		N/A	
	Total % Commitment		25.00%			0.00%		0.00%		40.00%	
	Total % Minimum		19.00%			0.00%		0.00%		30.40%	
	Total % Maximum		31.00%			0.00%		0.00%		49.60%	
	Per Grant Yr Minimum		3.80%			0.00%		0.00%		3.80%	
	Per Grant Yr Maximum		6.20%			0.00%		0.00%		6.20%	
	Actual Acad Salary %		32.81%			42.33%		44.44%		37.03%	
	Average Actual Acad Salary %		6.55%			14.11%		5.56%		4.63%	
			Over			N/A		N/A		On Track	



For calculation purposes-DO NOT EDIT OR REMOVE

1234123 Anna, Polly

**Key**  
 2% .25 mo = 1.08 wks  
 4% .50 mo = 2.17 wks  
 6% .75 mo = 3.25 wks  
 8% 1 mo = 4.33 wks  
**Bold/Red=Planned paid**  
**Bold/Blue=Planned cost share**  
 Black=Actuals paid and/or cs

**Award Info**  
 Project #/Agency  
 Project Name/Nickname  
 Start Date  
 End Date

**Effort**  
 Pd Commit  
 CS Commit

**Notes on Commitment**

FY	Pay Period Range Dates	Effort Period	Biweekly Comp Rate
FY09	6/9/08-8/31/08	Pd 1	5,285
FY09	9/1/08-1/4/09	Pd 2	5,285
FY09	1/5/09-6/7/09	Pd 3	5,285
FY10	6/8/09-8/30/09	Pd 1	5,444
FY10	8/31/09-1/3/10	Pd 2	5,444
FY10	1/4/10-6/6/10	Pd 3	5,444
FY11	6/7/10-8/29/10	Pd 1	5,607
FY11	8/30/10-1/16/11	Pd 2	5,607
FY11	1/17/11-6/19/11	Pd 3	5,607
FY12	06/20/11-08/28/11	Pd 1	5,775
FY12	08/29/11-01/15/12	Pd 2	5,775
FY12	01/16/12-06/17/12	Pd 3	5,775
FY13	06/18/12-08/26/12	Pd 1 - SMR 5pp	5,949
FY13	08/27/12-12/16/12	Pd 1 - Acad 8pp	5,949
FY13	12/17/12-05/26/13	Pd 2 - Acad 11.5pp	5,949
FY13	05/27/12-06/16/13	Pd 2 - SMR 1.5pp	5,949
FY14	Jun 13 - Aug 13	Pd 1 - SMR	<b>5,949</b>
FY14	Aug 13 - Dec 13	Pd 1 - Acad	<b>5,949</b>
FY14	Dec 13 - May 14	Pd 2 - Acad	<b>5,949</b>
FY14	May 14 - Jun 14	Pd 2 - SMR	<b>5,949</b>
FY15	Jun 14 - Aug 14	Pd 1 - SMR	<b>5,949</b>
FY15	Aug 14 - Dec 14	Pd 1 - Acad	<b>5,949</b>
FY15	Dec 14 - May 15	Pd 2 - Acad	<b>5,949</b>
FY15	May 15- Jun 15	Pd 2 - SMR	<b>5,949</b>
FY16	Jun 15 - Aug 15	Pd 1 - SMR	<b>5,949</b>
FY16	Aug 15 - Dec 15	Pd 1 - Acad	<b>5,949</b>
FY16	Dec 15 - May 16	Pd 2 - Acad	<b>5,949</b>
FY16	May 16 - Jun 16	Pd 2 - SMR	<b>5,949</b>

Total Amount Paid	# Pay Periods w/Effort	# Pay Periods Allowed to be Certified in Cycle
		0.00
		0.00
		0.00
5,898		1.08
4,896		0.90
5,712		1.05
12,149		2.17
5,600		1.00
5,320		0.95
6,016		1.04
5,780		1.00
5,492		0.95
29,772		5.00
7,982		1.34
6,842		1.15
0		1.5
27,266		4.58
4,752		0.80
4,010		0.67
5,949		1.00
7,931		1.33
2,376		0.40
3,416		0.57
0		0.00
6,444		1.08
1,188		0.20
0		0.00
0		0.00

NSF Cap Calculation (maximum 2/9 salary base) *Review by Fiscal Year					To be Cost Shared If Difference is Greater Than \$0.00
NSF Effort	Cost Shared	NSF Paid	NSF Cap		
*Reference all NSF Columns					
FY09 Pd 1	\$ -				
FY09 Pd 2	\$ -				
FY09 Pd 3	\$ -	\$ -	\$ 22,903	\$	(22,903)
FY10 Pd 1	\$ -				
FY10 Pd 2	\$ -				
FY10 Pd 3	\$ -	\$ -	\$ 23,590	\$	(23,590)
FY11 Pd 1	\$ -				
FY11 Pd 2	\$ -				
FY11 Pd 3	\$ -	\$ -	\$ 24,298	\$	(24,298)
FY12 Pd 1	\$ 2,888				
FY12 Pd 2	\$ -				
FY12 Pd 3	\$ -	\$ 2,888	\$ 25,027	\$	(22,139)
FY13 Pd 1	\$ 17,874				
FY13 Pd 1	\$ -				
FY13 Pd 2	\$ -				
FY13 Pd 2	\$ -	\$ 17,874	\$ 25,778	\$	(7,904)
FY14 Pd 1	\$ 20,822				
FY14 Pd 1	\$ -				
FY14 Pd 2	\$ -				
FY14 Pd 2	\$ 5,949	\$ -	\$ 26,771	\$ 25,779	\$ 992
FY15 Pd 1	\$ 1,487				
FY15 Pd 1	\$ -				
FY15 Pd 2	\$ -				
FY15 Pd 2	\$ -	\$ 1,487	\$ 25,779	\$	(24,292)
FY16 Pd 1	\$ -				
FY16 Pd 1	\$ -				
FY16 Pd 2	\$ -				
FY16 Pd 2	\$ -	\$ -	\$ 25,779	\$	(25,779)

# Audit

## What was alleged during the investigation?

- Cost transfers
  - Costs transferred were not allocable to the grants charged.
  - Spending down the funding at the end of the award.
- Effort Reporting
  - Summer salary paid from federal grants were wrongfully charged 100% when effort expended was for unrelated or no grant activities.

Yale

# Audit

---

## Finding 1: Over \$1.9 Million of Overcharged Summer Salaries

---

UCSB did not comply with either federal regulations and NSF award requirements nor its own policies and procedures that impose specific guidelines for salaries, wages and fringe benefit charges to federal awards. Our audit found that UCSB systematically overcharged faculty summer salaries totaling \$1,913,473 during the months of June, July, August, and September from 2008 to 2010.

According to UCSB policy, faculty are allowed to supplement their academic year salaries by working during the summer months. Faculty who choose to work during the summer can earn up to three months' salary in addition to their normal compensation earned during the academic year.<sup>3</sup> However, we found that UCSB's system for allocating summer salaries to its NSF awards is not based on actual work performed on those NSF awards by faculty during the summer period.

---

<sup>3</sup> Academic year appointments are generally considered to be nine months in duration. Consequently, the appointee earns 1/9 annual salary for each month worked. Thus, working up to three summer months could earn the employee an additional three months, or 3/9, the annual salary amount of additional compensation.

# Learning Objectives

- Participants will learn about 9-month faculty appointments
- Participants will learn how to request salary
- Participants will be taught the importance of monitoring effort
- Participants will see a demonstration of tracking tools for summer salary and commitments

# Discussion

- What are the challenges you face with faculty 9-month appointments?
- Do you have Tools/Best Practices to share?
- Questions/Comments



# Thank you!

Faith Goenner, University of  
Minnesota email: [faith@umn.edu](mailto:faith@umn.edu)

Rachel Surber, University of  
Minnesota  
Email: [surber@umn.edu](mailto:surber@umn.edu)