

## Baruch College Effort Reporting and Course Release Policy

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### Background

On 08/01/2016, CUNY issued a document entitled “A Policy to Ensure Consistency in Effort Determination, Reporting & Tracking during the Academic Year (9-month Appointment).” The City University of New York developed the policy “to ensure that research ‘Effort’ proposed and committed to a grant is consistently calculated as a percentage of the individual’s Total Institutional Activities.” This ensures that the time committed to a research project is measured and compensated in a consistent fashion. The CUNY policy was created in response to the Budget Circular Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (“Uniform Guidance”) issued by the United States Office of Management and Budget (OMB). Uniform Guidance details requirements regarding consistency in effort determination, reporting and tracking.

### Requirements

- All institutions that are recipients of Federal funding, such as Baruch, are obligated to comply with Uniform Guidance for **all** (e.g., City, State, Private and Federal) sponsored programs.
- Neither CUNY nor Federal policy permit cost sharing, which is defined as any costs allocable to the project not paid by the sponsor.
- Cost sharing may be permitted if it is stated in the sponsor guidelines as a requirement and pre-approved by the CUNY Office of Research.
- Each CUNY campus is required to create a policy tailored to meet its needs. This policy is designed to ensure Baruch’s compliance with the Federal and institutional policies mentioned above.
- Because Baruch is a fully functioning college that is also part of a large, public, higher education system, the terms of the policy listed below apply to Baruch faculty members.

### Applicability

Baruch faculty members are contractually obligated to (a) teach, (b) engage in research and other scholarly activities, and (c) perform service to the academic community. Therefore, one hundred percent of a faculty member’s time and effort is the sum of these three activities (a + b + c = 100% time and effort). The CUNY contract that applies to Baruch as a “senior” college with a 21 hour contractual teaching load describes total effort as follows: 70% of a faculty member’s overall time and effort comprises teaching (a). As such, a 3-credit course, for example, consists of 10% of a faculty member’s total time and effort, computed as  $(3/21 * 70\% = 10\%)$ . The remaining 30% of total effort comprises research and service.

Therefore, for every grant-supported, course reassignment requested by Baruch faculty:

1. The appropriate dean and/or chair must pre-approve the request.
2. The appropriate percentage of the faculty member's base salary will be budgeted. For example, the salary of a full professor at the top of the pay scale as of 4/20/17 will be \$128,485. 3 credits of reassigned time represents 1/7 of the instructor's 21-hour contractual workload.  $1/7$  of 70% = 10%; therefore, 10% of the professor's salary (\$12,849) will be budgeted for reassigned time. The table at the end of this document titled *Appendix A: Effort Calculation* computes time and effort per credit from 1 to 21 credits.

Please note the following:

- Faculty effort on a sponsored program cannot be linked to a course reassignment unless the full recovery amount is budgeted in the proposal and charged to the grant at the post-award stage. For example, an "adjunct replacement rate" of \$6,000 is insufficient to fully fund 10% of a full time base salary, and must never be used to account for a 3 credit course buyout. Certifying that time and effort has been allocated to a grant without claiming the full cost of that time and effort is considered to be "cost sharing," and is never permitted.
- An electronic survey will be distributed to members of the faculty during the Spring of 2017 requesting the percentage of time dedicated to (a) teaching, (b) research and (c) service.
- This policy is in effect immediately, and will remain in effect until 12/31/2018 at which time the survey results will have been reviewed and integrated into an updated policy.

### **Exceptions to the Policy**

- A. Written documentation from the sponsor must be provided by the Principal Investigator (PI) for programs with a cost sharing requirement. PIs applying for such opportunities are obligated to receive permission from their chairs and/or deans prior to submitting a proposal.
- B. Internal Baruch and CUNY programs that have limitations on reassigned time are exceptions to this policy.
- C. Baruch or CUNY-wide institutes or centers housed at Baruch which have written, pre-existing bylaws, approved by Baruch and/or CUNY, outlining actual costs of time and effort as less than what is detailed above supersede this policy.
- D. No other exceptions are permitted.

### **CUNY Effort Reporting Policy**

<http://www2.cuny.edu/wp-content/uploads/sites/4/page-assets/research/research-compliance/sponsored/Policy-on-Effort-Calculation-Tracking2-1.pdf>

## CUNY Cost Sharing Policy

<http://www2.cuny.edu/research/research-compliance/sponsored/guidance/pre-award/cost-sharing/>

## PSC-CUNY Contract Article 15: Workload

<http://www.psc-cuny.org/contract/article-15-workload>

## PSC-CUNY Contract Appendix A: Pertinent Sections of the Workload Settlement Agreement

<http://www.psc-cuny.org/contract/article-15-workload>

### Appendix A: Effort Calculation

| (A)<br>Credit Hours | (B)<br>Annual Undergraduate<br>Teaching Contact<br>Hours* | (C)<br>Overall Effort<br>Dedicated to<br>Teaching** | (A/B) * C<br>Percent<br>Time and<br>Effort |
|---------------------|---|---|--|
| 1                   | 21  | 70%   | 3.33%                                      |
| 2                   | 21  | 70%   | 6.67%                                      |
| 3                   | 21  | 70%   | 10.00%                                     |
| 4                   | 21  | 70%   | 13.33%                                     |
| 5                   | 21  | 70%   | 16.67%                                     |
| 6                   | 21  | 70%   | 20.00%                                     |
| 7                   | 21  | 70%   | 23.33%                                     |
| 8                   | 21  | 70%   | 26.67%                                     |
| 9                   | 21  | 70%   | 30.00%                                     |
| 10                  | 21  | 70%   | 33.33%                                     |
| 11                  | 21  | 70%   | 36.67%                                     |
| 12                  | 21  | 70%   | 40.00%                                     |
| 13                  | 21  | 70%   | 43.33%                                     |
| 14                  | 21  | 70%   | 46.67%                                     |
| 15                  | 21  | 70%   | 50.00%                                     |
| 16                  | 21  | 70%   | 53.33%                                     |
| 17                  | 21  | 70%   | 56.67%                                     |
| 18                  | 21  | 70%   | 60.00%                                     |
| 19                  | 21  | 70%   | 63.33%                                     |
| 20                  | 21  | 70%   | 66.67%                                     |
| 21                  | 21  | 70%   | 70.00%                                     |

\*PSC-CUNY Contract Appendix A: Pertinent Sections of the Workload Settlement Agreement

<http://www.psc-cuny.org/contract/article-15-workload>

\*\*As determined by Baruch College and detailed in the Baruch College Effort Reporting and Course Release Policy