



POLICY & PROCEDURE DOCUMENT

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DIVISIONS: Academic Affairs, Research

TITLE: Faculty Workload and Compensation

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REVISED:

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I. Purpose and Scope

This policy establishes accounting procedures for the workload associated with various activities in which tenure-track faculty may be engaged, including work on extramurally funded grants and contracts and work performed outside of WKU employment – for example consulting for external agencies. It also establishes criteria under which additional compensation, over and above the base salary, may be earned. This policy supersedes the November 1, 2005 Policy 1.1152 – “Faculty Workload: Summer and Winter Term.”

II. Policy

A. Definitions

1. “Base Salary” is the faculty member’s base annual salary. It may be based on a nine-month appointment, a twelve-month appointment, or an appointment of another duration.
2. “Effort” is a measure of total work spent in university-related activities. It is not measured in hours, but rather in months.

The overall effort of a faculty member may include teaching, research and service activities, and it may be conducted during normal university hours and/or at other times. For faculty with nine-month appointments, the total effort will sum to one month for any month during the academic year (August 15 through May 15) and to a value up to, but not exceeding, one month for summer months. Policy 1.5120 (see also II.E.2.b.ii below) addresses university-related effort for faculty with administrative appointments greater

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than nine months in duration. In all cases, the total effort expended on all pertinent (see II.F) activities, including teaching, research, service and administration, shall not exceed twelve (12) months in any fiscal year (July 1 through June 30).

3. "Fee-for-Service Contracts" are externally-funded contracts for which the university acts as a "broker" for consulting services provided by faculty to outside agencies.
4. "Offload" refers to activities that occur during the period associated with the base contract (e.g., nine-month academic year), which are above and beyond the normal expectations associated with the base salary position, and which are not normally expected during the period of time involved. Examples include teaching during the Winter Term. Such activities can result in compensation beyond the base salary for that period.
5. "Outside of Effort" refers to activities that do not constitute part of the 100% effort.
6. "Overload" refers to activities that occur during the period associated with the base contract (e.g., nine-month academic year), which are above and beyond the normal expectations associated with the base salary, and which are normally expected during the period of time involved. Examples include teaching over and above the expected load during the Fall or Spring semester. Such activities can result in compensation in excess of the base salary for the period in question.
7. "Stipend" is a form of additional compensation for temporary assignments. Stipends are not related to a distribution of effort, but rather to the type of work being performed. For example, a faculty member may receive a stipend for assuming temporary duties as an interim department head, or for a period of time as a result of appointment as a University Distinguished Professor.
8. "Summer Term" refers to the period between mid-May and mid-August, during which classes are held within a variety of sessions.
9. "Time and Effort Reporting" is a mechanism through which the fraction of overall effort devoted to various tasks is reported. It is a required element of any effort compensated by external contracts and grants.
10. "Winter Term" is the period between Fall and Spring semesters during the academic year, in which classes are offered.

B. Teaching During the Fall and Spring Semesters

1. The expected teaching load for all faculty should be clearly established in advance through the appointment and annual evaluation processes, and should be recorded appropriately.
2. Faculty members may receive additional pay for teaching a class beyond their expected load if that teaching need meets all three of the following criteria:
 - a. unanticipated – a need for an instructor arose under circumstances that could not reasonably have been anticipated by the department head;

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- b. unavoidable – the needed class, or another part of the faculty member's teaching assignments, could not be assigned to another instructor; and
- c. irregular – additional teaching beyond the expected load should be sporadic in nature and not an expectation.

Such assignments must be approved by the Office of the Provost.

- 3. Fall and Spring teaching assignments over and above the established teaching load are treated as overload and do not affect effort reporting.
- 4. A faculty member will normally be compensated for overload teaching at established rates. Alternatively, with mutual agreement among the faculty member, department head and dean, a faculty member may receive a commensurate reduction in teaching in a subsequent Fall or Spring semester.

C. Summer Term Teaching Assignments, Effort and Compensation

- 1. A faculty member may teach up to a maximum of twelve credit hours of summer courses during any Summer Term.
- 2. Teaching during the Summer Term involves an expenditure of effort equal to one-quarter of a month per credit hour taught.
- 3. For Summer Term teaching assignments, a faculty member will be compensated in accordance with Policy 1.2120.

D. Winter Term Teaching Assignments, Effort and Compensation

- 1. Faculty may teach a maximum of four credit hours during the Winter Term.
- 2. Teaching during the Winter Term is normally treated as offload, and does not affect effort.
- 3. For Winter Term teaching assignments, a faculty member will be compensated in accordance with Policy 1.2120.

E. Activities Sponsored by External Contracts and Grants

All research funded from extramural sources must follow the stipulations of Federal Publication OMB A-21. According to this document of federal regulation, extramural sources may not in general be used to increase a faculty member's salary during the base period of employment. However, additional compensation from extramural contracts and grants, at the same rate on which their academic salary is based, may be earned for periods outside the base period of employment. Furthermore, any effort expended on a sponsored project must be verified after-the-fact through a time-and-effort report.

1. Academic Year

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- a. During the nine-month academic year, activity on sponsored projects is generally considered part of the overall effort and consequently entails no additional compensation to the faculty member.
- b. In consultation with the department head, activity on sponsored projects should be factored in to the overall workload for the faculty member involved.

2. Summer Term

- a. A faculty member may participate in sponsored project activities during the Summer Term. Compensation for such activities will be at a rate consistent with the base salary, and will reflect the amount of effort expended and reported.
- b. As stated in II.A.2, the total effort for the academic year and Summer Term combined shall not exceed twelve (12) months.

- i. *Faculty with nine-month (academic-year) appointments*

The total effort during Summer Term shall not exceed three months.

- ii. *Faculty with administrative appointments greater than nine months in duration*

The amount of effort during the Summer Term is determined by the salary conversion factor associated with the administrative appointment. For example, for a faculty member holding a twelve-month appointment with an 11/9 salary conversion factor, eleven months of effort (9 months at 100% during the academic year, three months at 67% effort during the Summer Term) is devoted to the administrative appointment, leaving one month of effort for other tasks.

3. Winter Term

During the Winter Term, a faculty member may participate in sponsored project activities. Such activities are considered part of the overall academic year effort and consequently do not entail additional compensation.

F. Compensation Outside of Effort or Not Involving Effort

1. Activities Outside of Effort

The following activities are considered as work outside the 100% annual effort:

- a. consulting for outside agencies;
- b. activities on fee-for-service contracts;
- c. offload and overload teaching assignments;

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- d. DELO contracts that include outside-of-effort agreements such as developing and delivering online and independent learning courses, dual credit academic liaisons, cohort program coordination, and non-credit training and facilitation.

Activities outside of effort are limited to one day per week during any period in which 100% university effort is expended (e.g., August 15 – May 15 for faculty with nine-month appointments). For other periods (e.g., Summer Term), activities outside of effort are generally not restricted. However, if WKU effort is expended during these other periods, the amount of allowed outside-of-effort activity is correspondingly and proportionately reduced.

2. Compensation Not Involving Effort

The following types of additional compensation are considered salary enhancements. They require neither a commitment nor a reporting of effort.

- a. stipends associated with interim administrative appointments;
- b. salary supplements associated with endowed chairs/professorships;
- c. stipends associated with University Distinguished Professorships;
- d. other assignments that are approved by the Provost as not involving effort.

III. Procedure

A. General

This section specifies the various reporting procedures for the types of work and/or effort of Section II.

B. Additional Teaching During the Fall and Spring Semesters

1. For faculty teaching overloads during the fall or spring semesters, the department head should submit a Form 16 through channels to the Office of Academic Affairs. This form should clearly indicate that the requirements of II.B.2 have been addressed.
2. Compensation, from an appropriate E&G account, will be added through the regular WKU payroll process.

C. Summer Term

1. For faculty teaching during the Summer Term, the department head should submit a Summer EPAF through channels to the Office of Academic Affairs, who will note the associated expenditure of effort and ensure that the total effort expended during the Summer Term, taking into account the effort expended per II.C.2, does not exceed the limits set in II.E.2.b.
2. Compensation, from the Summer Schedule budget, will be added through the regular WKU payroll process.

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D. Winter Term

1. For faculty teaching during the Winter Term the department head should submit a Special Instructional Assignments (SIA) Form through channels to the Office of Academic Affairs, who will verify that the total teaching assignment for the Winter Term does not exceed the limits set in II.D.1.
2. Compensation, from the Winter Schedule budget, will be added through the regular WKU payroll process.

E. Activities Sponsored by External Contracts and Grants

1. Academic Year (Fall and Spring Semesters plus Winter Term)

- a. Sponsored program activity during the academic year should be reported as a labor distribution on an Electronic Personnel Action Form (EPAF).
- b. In consultation with the department head, activity on sponsored projects should be factored in to the overall workload for the faculty member involved.
- c. Any effort expended on a sponsored project must be verified after-the-fact, using the form at <http://www.wku.edu/Dept/Support/FinAdmin/faforms.htm> . Such reports should be filed within the first ten days following a month in which sponsored-project effort was expended.
- d. If the after-the-fact effort report conflicts with the EPAF for the period in question, funds shall be internally reallocated in accordance with the after-the-fact effort report.

2. Summer Term

- a. Summer effort on sponsored programs should be reported on a Summer EPAF and routed through the Office of Sponsored Programs to the Office of Academic Affairs. The Office of Academic Affairs will verify that the amount of effort requested is available, taking into consideration any effort expended on other duties during the Summer Term (see II.C.2).
- b. In accordance with federal regulation OMB-A21, any effort expended on a sponsored project must be verified after-the-fact, using the form at <http://www.wku.edu/Dept/Support/FinAdmin/faforms.htm> . Such reports should be filed within the first ten days following a month in which sponsored-project effort was expended.
- c. If the after-the-fact effort report conflicts with the Summer EPAF, funds shall be internally reallocated in accordance with the after-the-fact effort report.

F. Compensation for Activities Outside of Effort or Not Involving Effort

For additional compensation involving activities outside of effort, or not involving effort, the following procedures should be used.

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1. Activities Outside of Effort

Participation in activities outside of effort are subject to the limits of II.F.1. Participation should be disclosed at least two weeks in advance of the proposed activity by submitting the Outside Professional Activities Report form, available at http://wku.edu/academicaffairs/forms/outside_professional_activities_form.pdf, through the department head and dean to the Office of the Provost.

As applicable, the following additional procedures should be followed:

a. Consulting for Outside Agencies

Other than submission of the Outside Professional Activities Report form, no other university procedures are involved. Compensation will generally occur outside of the WKU payroll system.

b. Activities on Fee-for-Service Contracts

Participation in activities on fee-for-service contracts should be disclosed at least two weeks in advance by submitting a Form 16 to the Office of Sponsored Programs. The number of hours devoted to such approved activities should be reported after-the-fact. After this report has been received, additional compensation, at a level consistent with base pay and the duration of the base appointment, will be added through the WKU payroll system.

c. DELO Contracts

For DELO contracts that include outside-of-effort agreements such as developing and delivering online and independent learning courses, dual credit academic liaisons, cohort program coordination, and non-credit training and facilitation. a Form 16 should be submitted to Academic Affairs.

2. Compensation Not Involving Effort

a. Stipends associated with interim administrative appointments

This amount is reflected in the employee's EPAF.

b. Salary supplements associated with Endowed Chairs/Professorships

A Form 16 will be processed by the pertinent college office.

c. Stipends associated with University Distinguished Professorships.

A Form 16 will be initiated by the Office of Academic Affairs.

d. Offload and Overload Teaching Assignments.

Form 16 should be submitted to Academic Affairs.

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- e. Other Assignments Approved as Offload or Overload

The procedure for such assignments will be determined on a case-by-case basis.

IV. Related Policies

1.2120 Summer and Winter Teaching

1.5120 Annual Compensation for Faculty with Administrative Appointments

V. Reason for Revision

Draft for discussion and deliberation