

# Agenda

- Opening Remarks
  - Welcome from Ralph Alvarez
  - Office of the Provost, Dr. Larry Abele
  - Office of the Vice President for Research, Dr. Kirby Kemper
  - Office of the Dean of the Faculties, Dr. Anne Rowe
  - Sr. VP of Finance & Administration, John Carnaghi
  - History of the Twelve Hour Law, Ralph Alvarez
- Effort Certification Concepts
  - Overview Presentation, Judy Hefren
- Q & A Session

# Florida 12-Hour Law

- The Twelve-hour Law was passed in 1971, and by 1973 The Board of Regents was requiring that the Presidents of the SUS universities annually certify that all their institution's faculty complied with the Law. This certification consisted of a formal letter that was signed by the President and sent to BOR.
- In 2001 the law was number 240.243 under Title XVI (Education). In 2002 the Statutes were renumbered and education was placed under Chapter 1004--Public Postsecondary Education, to be reviewed by the Legislature in the 2003 Regular Session of the Legislature.
- It is presently (2008 Florida Statutes) under Title XLVIII--K-20 Education Code, Chapter 1012--Personnel, Section 945 (1012.945)--Required number of classroom teaching hours for university faculty members.

# Overview of the Concepts Related to Effort Certification

# Goals for Today

- Clarification of the relationship between the various administrative processes
  - Assignment of Responsibilities
  - Commitments on Sponsored Projects
  - Effort Reporting/Certification Process
- Explain why effort certification really matters
- Dispel some preconceived notions that influence how effort certification is currently being considered

# Effort Certification

- ***PARS*** – the current online system has been in place since the 1980's
- ***Why do we even bother with effort certification?***
  - Demonstrate compliance with 12-hour law through reporting to Board of Governors (s. 1012.945, Florida Statutes)
    - 1012.945, F.S. – “Each full-time equivalent teaching faculty member at a university who is paid wholly from state funds shall teach a minimum of 12 classroom contact hours per week at such university.”
  - Satisfy Federal requirements (OMB Circular A-21, J. 10)
    - Support Salary Charged/Credited to Sponsored Projects
    - Demonstrate compliance with effort commitments

# Assignment of Responsibility and Effort Certification



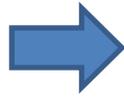
Represents 100% of  
your work related to  
your University  
appointment/pay for  
the semester



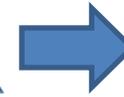
Represents the  
portion of the 100%  
dedicated to a  
specific task for the  
semester

# Bookends for the Process

**Assignment of  
Responsibility**



**WORK**



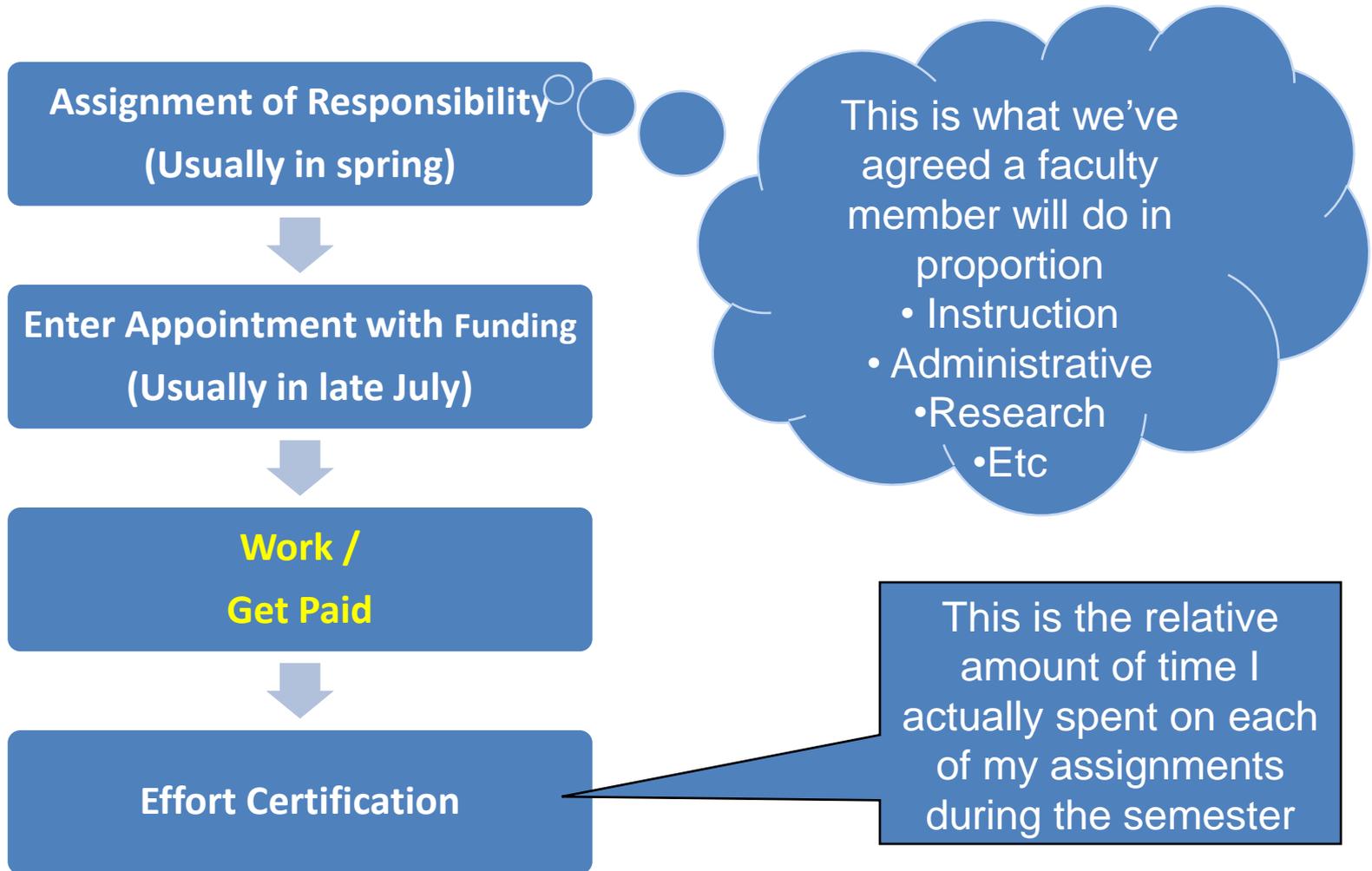
**Effort  
Certification**

***Realistic Prediction***  
of how a faculty  
members time  
will be spent

***Accurate Reflection***  
of how a faculty  
member's time  
was actually  
spent



# Faculty Contract Lifecycle



# Assignment of Responsibilities

- Assignments are made on the basis of many factors, including:
  - the faculty member’s qualifications, experience, need for professional growth and development, and preferences;
  - the character or demands of the assignment;
  - the needs of the program or unit;
  - and the opportunity to fulfill applicable criteria for tenure, promotion, and merit salary increases.
- The assignment of responsibilities is the basis of annual evaluations of faculty, as well as evaluations for promotion and tenure.

Source: Memorandum dated January 23, 2008, from Anne E. Rowe, Dean of the Faculties and Deputy Provost, to Vice Presidents, Council of Deans, Directors, and Department Chairs

# Preconceived Notions related to AORs

## Preconceived Notion

- AORs for instruction is simply based on a 40-hour work week.
  - “Faculty members are expected to work a minimum of 40 hours per week, and therefore scheduled hours do not normally exceed 40 hours per week. However, the professional obligation of each faculty member is comprised of both scheduled and non-scheduled activities. “

## Reality

- AORs are intended to accurately reflect the agreed upon use of the faculty member’s time for the upcoming academic year.

# Preconceived Notions related to AORs

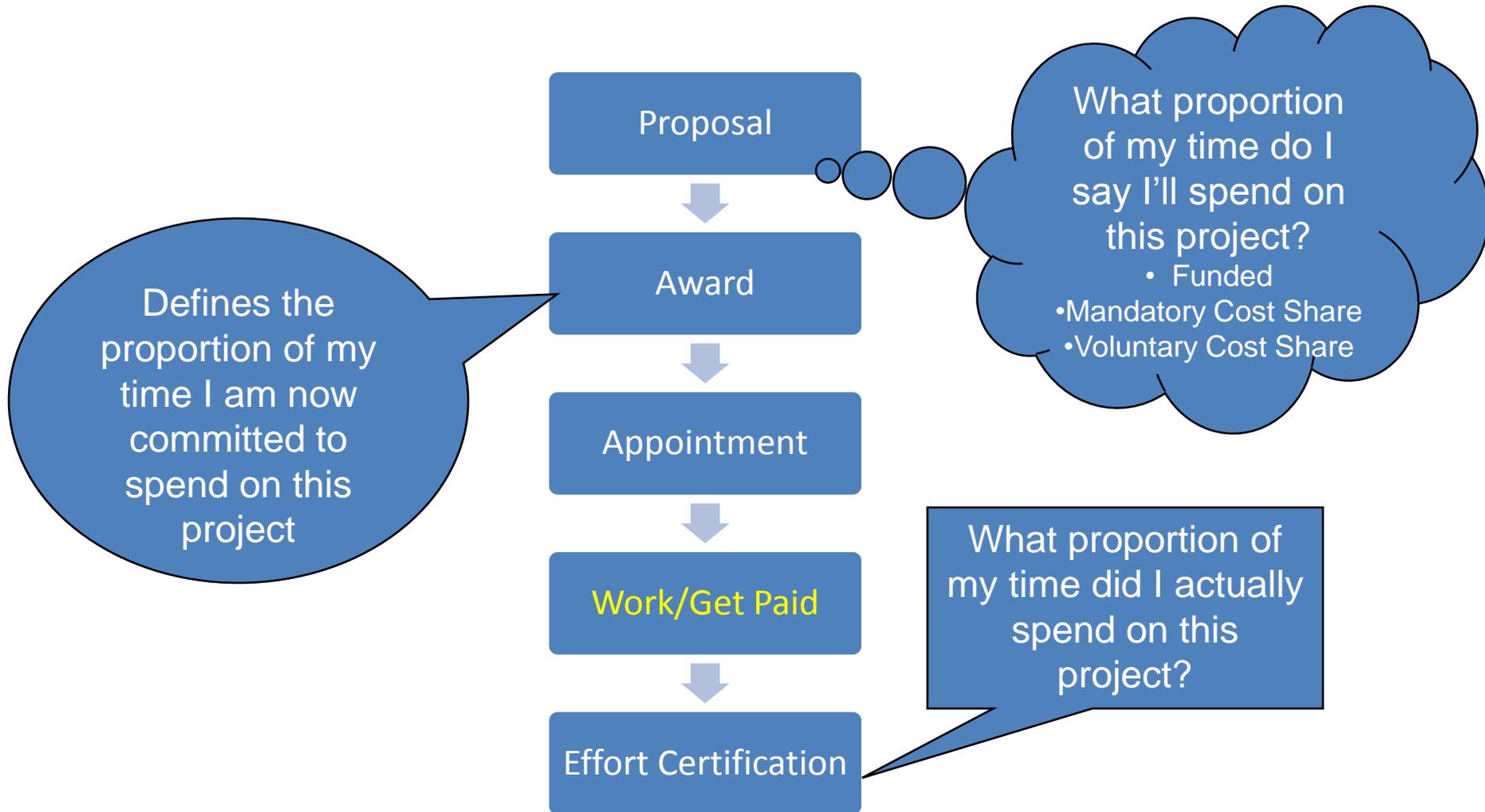
## Preconceived Notion

- Teaching a 3-credit hour class must be included on the Assignment of Responsibilities (AOR) as 25% of effort.
  - The idea that a full-time faculty member taught four 3-hour classes, lead to the guide that a 3-hour class should be reflected as 25% of your time.

## Reality

- Teaching a 3-credit hour class should reflect the amount of effort actually anticipated.
  - If a faculty member has taught a class multiple times through the years, the effort required may be significantly less. Conversely, if the faculty member is developing a new course, it may require a greater percentage of their time.

# Sponsored Project Lifecycle



# Parallels?

## Assignment of Responsibilities

Appointment

Work/Pay

Effort Certification

## Project Commitments

Appointment

Work/Pay

Effort Certification

# Salary Funding

- Funding decisions are made in advance based on how work is assigned and the expectation of how an employee is to spend their time.
- At the end of the term, it may become apparent through the effort certification process that the estimate for sponsored research effort was not correct and a funding adjustment may be required.

# Effort Certification

- Effort certification is an after-the-fact confirmation of how an employee actually spent 100 % of their time.
- Per OMB Circular A-21, “the reports will be signed by the employee, principal investigator, or responsible officials(s) using suitable means of verification that the work was performed.”

# Preconceived Notions related to Effort Certification

## Preconceived Notion

- Effort certification has no real relationship to how I spent my time.

## Reality

- Effort certification is to accurately reflect how you spent your time during the semester.
  - Per OMB Circular A-21, “Reports will reasonably reflect the activities for which employees are compensated by the institution.”

# Preconceived Notions related to Effort Certification

## Preconceived Notion

- In order to be considered successful, my effort certification must match my AOR.

## Reality

- Both the AOR and the Effort Certification should reflect reality from a different view.
  - Assignments of Responsibility should be updated to ensure that all changes have been approved and agreed to.

# Preconceived Notions related to Effort Certification

## Preconceived Notion

- If I teach a 3 credit hour class, I must have been assigned and report 25% effort for that class.

## Reality

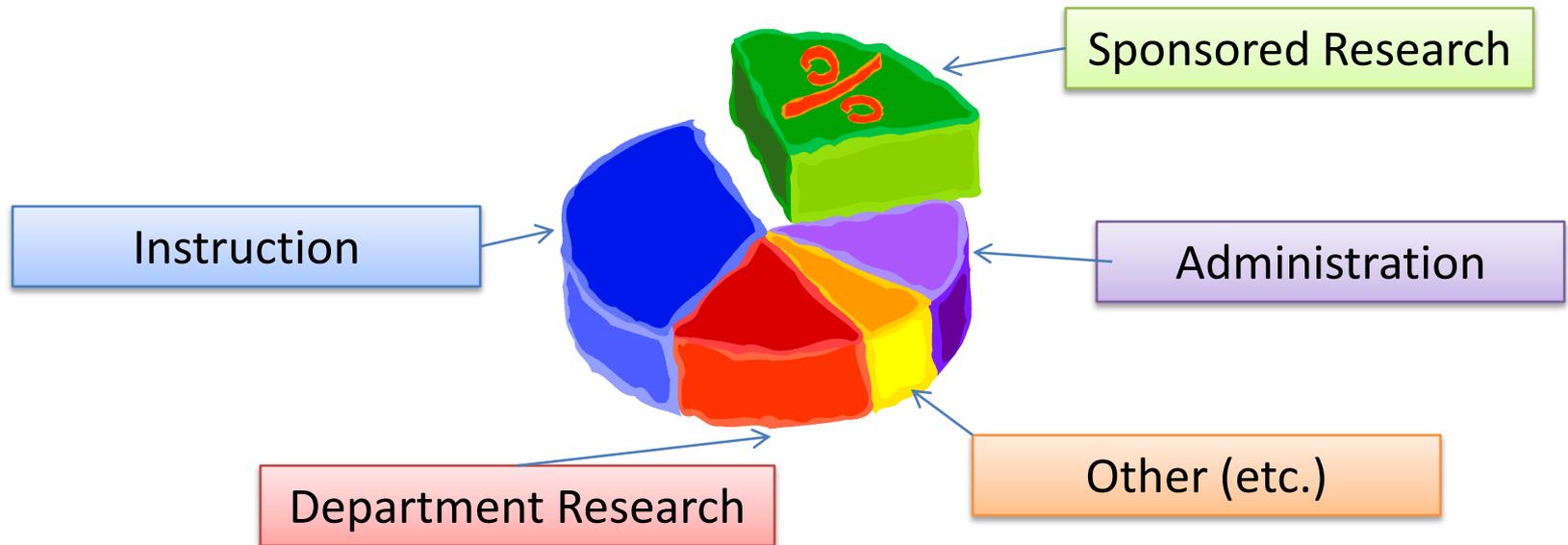
- If you teach a 3 credit hour class, report the actual amount of effort the course required.
  - In Fall and Spring there will be warning messages if you have not complied with the 12 hour law, but no adjustment will be required.

# Reasonable Estimates

- A-21 recognizes that, “in an academic setting, teaching, research, service, and administration are often inextricably intermingled. A precise assessment of factors that contribute to costs is not always feasible, nor it is expected. Reliance, therefore, is placed on estimates in which a degree of tolerance is appropriate.”

# Summary

For both the Assignment of Responsibilities and the Effort Certification, the goal is the same: To reasonably estimate the proportion of your time that is spent on your various duties.



# FACET System and Process Improvements

Faculty **A**ssignments **C**ommitments and **E**ffort Certification **T**racking System

- Effort Reports for Graduate Assistants and Adjunct Faculty with no sponsored funding do will be automatically populated and will not require any review or approval.
  - This accounts for approximately 2,000 effort reports that will no longer have to be certified.
- All commitments on sponsored project awards will be included in the FACET system. This will enable us to address potential over-commitments.
- FACET will provide an efficient means to monitor funding limitations such as NIH salary cap and NSF funding limitation.

# FACET System and the Assignment of Responsibilities

Faculty **A**ssignments **C**ommitments and **E**ffort Certification **T**racking System

- A future goal is that the AOR will be an electronic document.
- As new awards are received, the increased commitment will prompt the department to consider revising the AOR.
- As sections are added to a faculty member's course load, the increased responsibility will prompt the department to consider revising the AOR.

# Questions/Discussion