



## New York University

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# NYU Guidelines on Faculty Effort

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The following is not official University policy, as it has not gone through a formal approval process. These are guidelines to assist faculty and administrators at all levels to account for faculty time and effort to the extent that such accounting is necessary to comply with NYU's research policies and federal rules.

## I. For Schools at Washington Square

### A. Standard Faculty Effort

The standard faculty appointment for tenure-track and tenured faculty in the schools at Washington Square is for the nine-month academic year, with three summer months available for additional compensation at the rate of 1/9<sup>th</sup> of the academic year salary per month.

The academic year time is divided into three portions: T devoted to teaching, R to research and S to service and administration, such that  $T+R+S = 100\%$ . The standard distribution is  $T=45\%$ ,  $R=45\%$  and  $S=10\%$ , although individual schools or departments may set their own distributions. Any deviations from these proportions should be authorized by the dean and explicitly noted in an appointment letter from the dean for the year in question.

The teaching portion is usually associated with a specific number of courses N, which should be defined for each department. Schools such as IFA and ISAW with no undergraduate enrollments shall define the teaching load appropriately. Corresponding to this academic appointment each faculty member is assigned a "Departmental Base Salary", which is the basis on which the yearly salary review is conducted. Any increases to this Departmental Base Salary due to additional responsibilities (see e.g. Sections C and D, below) would change the latter into the "Institutional Base Salary", which is the total compensation paid to the faculty member by NYU during the academic year, and is the salary used in the Time and Effort reports required for faculty engaged in sponsored research. The increases that constitute the difference between the departmental and institutional base salaries are expected to vary from year to year, as the activities leading to those supplements vary.

In the summer, the bulk of effort is typically devoted to research, with some non-zero portion devoted to service, for example, to grant writing (e.g.  $R_s=90\%$ ,  $S_s=10\%$ ,  $T_s=0$ ). Effective 9/1/09, faculty may not charge 100% time for research to the Federal government in any given month, including the summer. The minimum which must be reserved in any month for service is 5% for faculty without extra administrative duties and correspondingly more for chairs, directors and deans.

## B. Academic Year Salary on Grants and Teaching Relief

Faculty may request relief from the full teaching load, either to devote additional time to research or to carry out additional service (see below). In the former case, the teaching portion  $T$  is reduced proportionately for each course of teaching relief and the research portion is correspondingly increased, with the salary typically supplied by external grants. For example, if the teaching load in the department is three courses and a faculty member gets one course of relief, then  $T$  is reduced from 45% to 30% and  $R$  is raised to 60% with the increased percentage supplied by external grants. Extra administrative service  $S$  involves corresponding reductions in  $T$  and/or  $R$ . In addition to teaching relief, faculty may request permission from their Chair and Dean to charge some of their academic year research time  $R$  to a grant and to have the money thereby saved by the University paid into a research account. These funds can then be used for the faculty member's remaining summer support or for other research needs.

## C. Faculty with Administrative Duties

For faculty who take on significant administrative duties, e.g., chairs, directors of under- or graduate studies, etc., there are two distinct changes in the above, which must not be confused.

### 1. A higher total salary

In view of the extra responsibilities taken on by the faculty member the University generally increases the overall compensation. Note that this increase affects all components of the effort, not just the administrative part so it should not be thought of as an 'administrative supplement' alone, but rather as an overall increase in salary. As mentioned above, the increase is calculated using the Departmental Base Salary as the starting point and adding a supplement to it to arrive at an Institutional Base Salary. The amount of additional compensation may vary from individual to individual, just as the Departmental Base Salary does, and the University does not need to justify each supplement further.

### 2. A change in effort distribution

Each administrative appointment should be associated with a definite redistribution of the effort components  $T$ ,  $R$ ,  $S$ , which should, however, still add up to 100%. These amounts should be consistent from one appointment to the next in a given department and not be subject to individual negotiations. For example, a school might divide its departments into two or three classes such that chairing a department in Class I would always entail a

specific level of service effort  $S$ . It is also important to note that most administrative appointments involve duties during the summer months and these must be compensated by the University. It follows that faculty in administrative positions may not in general charge the maximum summer effort to research ( $R_s < 95\%$ ,  $S_s > 5\%$ ).

#### D. Supplementary Teaching

Similar to faculty who take on additional administrative duties, those faculty who are asked to teach additional classes may be compensated for a limited amount of such teaching, with a supplement to the Departmental Base Salary. The amount and timing of the additional teaching is governed by departmental, school and University policies. As in C above, the added compensation, together with the Departmental Base Salary, are included in the Institutional Base Salary. A redistribution of effort will also be necessary, such that the new course load, research and service efforts total 100%.

#### E. Appointment Letters

The initial appointment letter to regular faculty should refer to the standard distribution of effort and to the standard course load in the department. Appointment letters for administrative positions or for extra teaching should specify the additional (total) compensation as well as any redistribution of effort during the academic year and during the summer months. Any change in these commitments should be documented.

## II. The Dental College

The College of Dentistry, whose faculty are appointed on a 12-month basis, have the same components of faculty effort (teaching, research and service), with the minor modification that teaching for some includes the clinical supervision of students. Faculty can be broadly classified into four groups, Tenure Track Research Scholars, Tenure Track Clinical Scholars, Non-tenure Track Clinical, and Non-tenure Track Research, whose total effort is divided up differently between the three components (T,R,S). Each year during the annual review process, the faculty and Department Chairs do an assessment of the distribution of the faculty members effort in each of the components (T,R,S) for the next year. This is agreed upon and recorded in the faculty member's file.

## III. The School of Medicine

The School of Medicine, whose faculty are also appointed on a 12-month basis, also adds to the three major categories of faculty effort (teaching, research and service) the component of clinical activity, which is patient care. Faculty can be broadly classified into four groups, Basic Science Educator, Basic Science Researcher, Clinical Researcher and Clinician, whose total effort is divided up differently between the four components (T,R,S,C). The principles and policies governing faculty effort in the School of Medicine have been laid out in a December 2007 Report of the Academic Excellence Commission entitled "*Academic Performance Standards and Metrics for Basic Research*".

## Examples applicable to schools at Washington Square:

1. Faculty member A serves on the University Committee on Activities Involving Human Subjects, on 3 departmental committees and writes proposals for research funding. A's nine-month salary of \$135,000 is distributed as 45% teaching, 45% research and 10% service during the academic year. During the summer A attends occasional meetings and drafts a proposal for research funding for a distribution of 95% research and 5% service (unremunerated). During the months of June, July and August, a research grant is charged for effort. Therefore, in addition to the \$135,000 academic year salary, the salary for the summer is calculated as follows:  
$$\$135,000 \times \frac{3}{9} \times 95\% = \$42,750$$
2. Faculty member B has the same academic year salary of \$135,000 in a department where 3 courses per year is the norm and where the default distribution of time is 45% for research, 45% for teaching and 10% for service. B serves on the tenure and promotion committee of the department. B is granted permission to buy out of one course and B also devotes the summer to a research grant. In addition, B will charge academic year research time to the grant. The time distribution during the academic year is thus 60% research (of which 43.44% is paid by NYU and 16.66% by a grant), 30% teaching and 10% service, and during the summer, 95% research, 0% teaching and 5% service.  
Buy out:  $\frac{1}{3} \times 45\% = 15\% \times \$135,000$  during the academic year (or 30% for one semester) = \$20,250  
Summer:  $\$135,000 \times \frac{3}{9} \times 95\% = \$45,000 \times 95\% = \$42,750$  (charged to grant);  
Additional academic year research time:  $135,000 \times 1.66\% = \$2,250$  (charged to grant);  
A research account gets established in the amount of \$2,250 which B may use for the remaining 5% of summer salary or for other research expenses.
3. Faculty member C is appointed Chair of the department and is given a 10% salary supplement, for a total academic year salary of \$148,500. This salary is distributed as 45% research, 30% teaching and 25% service during the academic year. During the summer, when there are not as many chair responsibilities, 90% is devoted to research and 10% to service. A research grant will pay for the research portion of summer salary.  
Summer:  $\frac{3}{9} \times \$148,500 \times 90\% = \$44,550$  from research grant;  
NYU pays \$4,950 for chair and other service responsibilities.
4. Faculty member C teaches a course during the January mini-semester for which she receives a \$6,000 supplement to her academic year (base) salary of \$120,000. The new Institutional Base Salary is \$126,000 and the distribution of academic year effort changes from the T=45%, R=45%, S=10% which is the departmental standard to T=50%, R=40%, S=10% during that academic year.