

TTUHSC School of Pharmacy Department of Pharmacy Practice

Effort Reporting and Workload Assignments Guideline

BACKGROUND: *TTUHSC Policy 65.07 Personnel Activity Reporting* takes precedence over this SOP Policy as it governs effort reporting for all sponsored programs and cost sharing funds. It details the procedures for time and effort reporting and management of effort commitment for all sponsored projects and cost sharing funds at TTUHSC. Effort certification is a federal requirement as stated in OMB Circular A-21 Section J-10 which requires confirmation of labor expenses. Because effort certification is required for all sponsored projects and cost sharing funds, the ecrt - Effort Reporting process is used by TTUHSC faculty. Because SOP policy must be compatible with TTUHSC policy, effort reporting is required of all faculty and workload assignments are based on expended effort.

Effort is the portion of time spent on a given professional activity. Effort is expressed as a percentage of the total professional activity for which an individual is employed by TTUHSC. It is a reasonable estimate. Total effort must equal 100%. Per federal guidelines, effort is not based on a standard (e.g. 40- hour) work week. Instead, effort is based on whatever the faculty member actually worked (such as a 50-60 hour work week). One hundred per cent effort considers all professional activities related to TTUHSC appointment; except external consulting and like outside activities. Therefore, 100% research effort is not reasonable as all SOP faculties have expectations for teaching and / or service.

Effort reports and certification must be based on *actual expended effort*. SOP faculty with sponsored program and patient care (practice) commitment must document their expended time. Documentation must be sufficient for audit review and must be maintained by the individual faculty member. All faculty and principal investigators self-certify their effort reports. When certifying their effort report in the ecrt system, faculty must sign a legal attestation of their effort report. Failure to accurately report effort distribution creates the potential for disallowance of funds and potential criminal prosecution.

PURPOSE:

This SOP policy guides effort reporting and the workload assignments for faculty. This policy is a guideline (not a rule) used to plan the faculty resources required to meet the SOP's multiple missions as required by the **Accrediting Council for Pharmacy Education (*Standards 2007* - Standard 24, 25)** and the **Southern Association of Colleges and Schools (Core Requirements 2.8)**. This policy is a management tool for assigning and evaluating each faculty member's workload. Effort distribution management is mandated both by ACPE (Standard 25 data item 2; faculty must report % effort in

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practice) and the federal government (for sponsored projects and cost sharing). Thus, all faculties will complete an annual effort report.

This policy shall be reviewed every year by the department chairs with recommended revisions to the Dean by August 1.

POLICY:

Definition of Effort: The workload of SOP faculty members encompasses a variety of teaching (professional and graduate); research (scholarship of teaching, discovery, integration and application); services to the SOP, the students, and TTUHSC; and patient care. Effort is the portion of time spent on a given professional activity and expressed as a percentage of the total professional activity for which an individual is employed by TTUHSC. It is a reasonable estimate. Total effort must equal 100%. Per federal guidelines, effort is not based on a standard (e.g. 40- hour) work week. Instead, effort is based on whatever time the faculty member actually worked (such as a usual 50- 60 hour work week). Actual time worked for full time faculty must be a minimum of 40 hours per week but is often significantly more. One hundred per cent effort considers all professional activities related to TTUHSC appointment; except external consulting and like outside activities. Therefore, 100% research effort is not reasonable as all SOP faculties have expectations for teaching and / or service. Effort reports are certified based on *actual expended effort*. Effort reports are not based on projected time or projected budgets.

(Service to professional and scientific societies and to our communities is encouraged and supported by the SOP and TTUHSC; however, these are external services and not included in effort certification except in unique situations.)

Employment Terms: The standard workload for faculty depends on employment terms: full-time faculty members on a 12-month appointment, faculty members who have a full-time 9-month appointment and part - time faculty. Workload allocation shall be assigned proportionally based on the terms of the employment appointment.

Chair Authority: Article II, Section A, Paragraph 3 of the SOP Bylaws assigns the responsibility of assigning teaching workload to the chairs. It further requires that the chairs are responsible to *provide opportunity for and assist each member of the faculty [in the department] in achieving optimal professional development in teaching, research or scholarly activity, and professional service*. To achieve fair assignments of workload, the chairs must assign workloads such that:

- a. Overall workloads are distributed in a manner that is supportive with the comprehensive, multiple missions of the SOP and TTUHSC;
- b. The SOP meets its instructional obligations for professional and graduate programs;
 - i. Teaching assignments are determined annually by the chairs. The chairs must ensure that the teaching teams are effective and appropriately

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balanced by expertise, departmental representation, campus representation, experience, and other factors. Teaching assignments must also take into account other assigned activities such as research, patient care, administration, and service.

- ii. Teaching assignments are initially distributed in early summer for the following academic year. They are reviewed thorough out the year to ensure effective delivery of the academic program. Teaching assignments are based on projected effort.
 - iii. Actual certification of effort is done retrospectively after the assigned teaching for a given year is completed.
- c. Faculty participation in research and scholarship, SOP and TTUHSC services, and patient care is accommodated;
 - d. Each member of the faculty meets expected workload requirements.

Faculty Generating Sponsored Programs Salary Support or Cost Sharing: Faculty who are paid a portion of their institutional base salary from a sponsored program or a cost sharing fund, must have a distribution of workload relative to *percentage effort* expended on the project (TTUHSC Policy 65.07). Sponsored program salary support and effort expended to each sponsored program must be equal. For example, a faculty member who received 35% salary support from an NIH-funded project must document, per federal regulations, that 35% of total effort was devoted to that specific project.

Practice Effort: ACPE mandates that practice faculty report their per cent effort expended on practice which is the sum of compensated and uncompensated patient care.

(Faculty who practice may generate income through execution of patient care contracts. These is termed compensated patient care and documented by recording hours worked. Patient care services are then billed through the SOP according to contractual requirements. Payment is based on a negotiated hourly rate. TTUHSC SOP also requires faculty to report patient care for which funds are not obtained. This is termed uncompensated patient care. The TTUHSC SOP requires faculty to provide compensated or uncompensated patient care in order to meet its missions.)

PROCEDURE

Faculty must annually report all professional activities and corresponding percent of effort expended for the preceding year.

Effort Reporting for Practice

Practice faculty should report the annual actual hours expended in practice; compensated, uncompensated and total practice hours). Residency program directorship is awarded an additional annual 5% effort beyond documented practice hours.

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Effort Reporting For Research and Scholarship

All faculty members are expected to be scholarly, whether as an individual investigator, or as an active member of a faculty team. This is a basic tenet of employment at the SOP and is assigned *specific percent of effort* based on the faculty member's appointment (tenure or non-tenure track) and expected areas of performance. The scholarships of discovery (research) and scholarship of application (translational research) are treated on an equal basis. Tenure track and tenured faculty are expected to actively seek extramural funding for scholarship.

- a. As specified by TTUHSC policies (see HSC Policies 65.02, 65.04, 65.06) and Texas statute (see HSC Policy 65.02 1.C, 65.07), applications should include fair cost of all TTUHSC resources, including faculty and staff salaries (including salary replacement support) equivalent to the percent effort the investigator works on the sponsored project, as well as the designated indirect research charges set by TTUHSC for various categories of sponsors. Faculty administrative, instructional or service workload assignments shall be reduced based on the percentage of state based salary and benefits replaced by extramural funding.
- b. A new, tenure track faculty member who has not previously held a full-time tenure track appointment will be granted additional percent of effort to research as determined by the Chair.
- c. Faculty who are preparing grant proposals seeking extramural funding will have a percentage of effort awarded in concert with the scope of the grant and the faculty member's specific role (e.g., PI, multi PI, investigator etc.)

Effort Reporting for Teaching

The SOP has six types of instructional assignments, based on the instructional format, learning activities and intended outcomes of the various professional and graduate courses (see SOP Policy 77 P.02). Faculty effort required to deliver instruction differs significantly with a number of variables or confounders including: individual faculty academic experience, course content, student preparedness, faculty familiarity with material, use of active learning methods, team cohesiveness, exam format, and pedagogy. Thus, there is no simple model or formula to quantitatively project the effort associated with all assignments. However, one variable which dramatically and consistently affects the effort needed to teach is the instructional format.

Therefore, it is useful to consider the norms for six common types of instructional formats. For all instructional types, the norms include all teaching related activities: course planning, team meetings, personal preparation for instruction and assessment, delivery,

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grading, administering make up exams, advising and tutoring students and post course assessment.

As detailed below, the SOP uses the following formulas in assigning workload and analyzing expended effort. The use of *adjusted SCH* in the final effort calculation accommodates the varying effort due to instructional format.

Note: 1 LE (lecture equivalent) = 1 lecture = 1 2-hr discussion = 1 3-h lab.

Note: 16 LEs = 1 SCH

Note: 16 Adjusted LEs = 1 adjusted SCH (semester credit hour)

Type of Instruction	Effort Weighting Factor
Lecture	100%
Discussion (includes Grand Rounds)	50%
Laboratory	33%
Case Studies	25% of assigned SCH
Dissertation / Resident Project	25% of assigned SCH for dissertation; assume 3 SCH per resident project
Pharm.D. Experiential Education	List separately as total SCH as detailed below

Didactic (lecture style) instruction-. A 50 minute class delivered in the lecture format is the base against which other instructional formats are compared when estimating teaching effort. TTUHSC defines 16 instructional contact hours (actually 50 min. class session) plus the final exam as 1 SCH (semester credit hour, SOP Policy 77.02). Graduate courses that utilize professional courses as part or all of the didactic instruction shall not double count in computing faculty effort. Each lecture is *weighted 100%*. Some courses are a blended mix of lecture and discussion and each session is appropriately weighted. A general guideline is that delivery of 1 new lecture requires 8 hours and delivery of a lecture previously presented by an individual requires 4 hours.

The didactic workload shall be considered instruction *personally* delivered by the faculty member, including assessment/examination sessions. If instruction is delivered by a graduate student, post doctoral fellow or resident, the faculty member may count these contact hours as part of his/her workload ***only if*** the faculty member: (1) meets with the graduate student, post doctoral fellow, or resident prior to the didactic instruction to actively plan the content and review the materials being presented to the class, (2) physically attends the class or reviews the video of the class, and (3) provides the graduate student, post doctoral fellow or resident with a written critique of his/her instructional effectiveness and recommendations for improvement.

Laboratory/simulation instruction –This teaching format typically requires 1/3 the effort of didactic instruction; thus TTUHSC defines 1 SCH of laboratory instruction as 16 3-hr labs plus a final exam. Each laboratory session is *weighted 33%*. Some courses are a

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blended mix of lecture/discussion and laboratory and each session is appropriately weighted.

Discussion instruction – This teaching format typically requires 1/2 the effort of didactic instruction; thus TTUHSC defines 1 SCH of discussion instruction as 16 2-hr discussions sessions. Each discussion is *weighted 50%*. Grand Rounds is a discussion format course. A general guideline is that laboratory instruction requires the same number of hours as actual scheduled laboratory contact time plus time for preparation and grading. Preparation and grading time commitment varies with the individual faculty member's role in the course. For example, one instructor may develop all the lab exercises and grading rubrics for an entire semester. This person will document this extra effort beyond simply attending and facilitating a lab section. Similarly, service as a campus coordinator (which is not a team leadership) requires additional effort which the faculty member should document.

Problem Based Learning instruction (Case Studies Courses) – This teaching format typically requires 1/4 the effort of didactic lectures; thus SOP defines a 4 SCH Case Studies Course as 32 1.75 - hour sessions and a 3 SCH Case Studies Course as 32 1.3 hour sessions. Case studies instruction is *weighted 25%*. For example: a faculty member teaching a complete 4 SCH CS II section will earn $4/4 = 1$ adjusted SCH. Preparation and grading time commitment varies with the individual faculty member's role in the course. For example, one instructor may develop 3 new cases with grading rubrics requiring 90 hours in addition to the scheduled time needed to facilitate a section. This person will document this extra effort beyond simply attending and facilitating a case studies section.

Research Dissertation and Resident Project instruction (post graduate professional (resident) or graduate students) – This teaching format typically overlaps with other duties such as research or patient care. It is very difficult to estimate a norm for additional effort required. Therefore, each SCH of research dissertation is weighted 25 - 50% time as determined by the respective chair. Each resident project, usually equivalent to 3 SCH per project per year, is *weighted 25%* for the primary residency project advisor. If faculties wish to claim unique effort to research project oversight, the faculty member should document the estimated time devoted in a manner which clearly distinguishes it from other professional activities such as research or patient care.

Professional Practice Experiential instruction - Students are assigned to faculty supervision for the entire contact time (e.g. 40 hours per week for an APPE rotation or 16 hours per week for a P3 IPPE rotation). Licensed pharmacist faculties are responsible for student pharmacist interns, per state regulation, regardless of other assigned concurrent duties.

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Thus, the SOP defines 1 SCH of professional practice experience as 40 hours of weekly assigned student time during which the faculty pharmacist is legally responsible for the student pharmacist intern. Calculations of workload should take into account the variable mix of P3 rotations which are independent courses and P4 rotations which are independent courses. The P3 and P4 rotations are guided by different course syllabi, learning objectives, learning activities, and assessment rotations. Thus, it requires additional effort when faculty precept a mix of P3 and P4 students than when faculty precept only one level of student. An additional complicating factor is the assignment of 1-4 students per rotation. Additional students impose additional effort such as extra grading, assessments, feedback and counseling. In order to accommodate the above factors, the SOP considers the workload of professional practice experience instruction as measured by the SCH generated by the students assigned to each rotation. However, “double” credit is not awarded for the multiple students enrolled in the exact same experiential course. It is helpful for faculty to estimate the actual time needed to conduct teaching beyond that needed for practice; this will vary widely depending on the students, student maturity, and unique circumstance which may arise requiring extraordinary faculty time.

Example: Rotation 1: Faculty is assigned 2 P4 Adult Medicine Students (6 credit course) and 1 P3 Inpatient Clinical Skills student (2 SCH course). This rotation yields 8 SCH of student instruction. The Department of Pharmacy Practice has set general target workload units expressed as SCH; acknowledging the complexities of scheduling.

Faculty who precept post graduate resident practice rotations usually overlap this responsibility with other professional practice instruction and / or practice hours. Thus, preceptorship of resident rotations is not usually awarded extra effort.

Effort Reporting for Academic Service and Academic Administration

1. Percentage of effort will be granted for service to the SOP or TTUHSC such as committee work and advising student professional or scientific organizations. Percentage of effort will range considerably given the scope, responsibility, and engagement of the faculty member. For example, chair of a productive and heavily engaged SOP committee (ACPE accreditation) may warrant 10% - 15% effort. Merely attending committee meetings once or twice a year may warrant <1% effort. The chair shall confirm that effort is in concert with performed service commitments.
2. Percentage of effort may be granted for a faculty member who is a faculty administrator; such as associate/regional dean, department chairperson, vice chair, division head, or director. The percentage of effort will vary given the span of control, scope, and intensity of the administrative appointment. The chair shall confirm that effort is in concert with administrative commitments.

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- External service as a national or state officer of a professional learned society may be awarded effort, but effort toward this external service is not automatic. The chair may assign, in unusual circumstances, effort in concert with such service.

DEPARTMENTAL WORKLOAD

Pharmacy Practice Faculty Workload Expectations

All departmental workload expectations are general estimates and will be adjusted based on funded research, patient care, service and administration. The totality of professional effort is determined by the Chair(s), Pharmacy Practice.

Faculty Track	# <i>unadjusted</i> SCH due to all didactic, lab, case studies instruction	# unadjusted SCH due to professional practice education *	# Team Leaderships	# Peer Reviewed Papers (author or co-author)	External Research Funding	Funded Patient Care
NTT; primarily patient care contract	3-4 SCH	32 – 48 SCH	1-2	≥ 1	No	Yes, Per chair
NTT; primarily uncompensated patient care	3-4 SCH	32 – 48 SCH	2-4	≥ 1	No	Per chair
NTT; faculty administrator without patient care contract	3 SCH	18 SCH	1	≥ 1	No	Per chair
Tenured or tenure track	3-4 SCH	12-18 SCH	1	≥ 2	Yes	Per chair
TT faculty administrator	2 SCH	6-12 SCH	1	≥ 1	Maybe	Per chair
NTT; no patient care	6-7 SCH	0 SCH	3-5	≥ 1	No	no

*Rotation SCH will vary by student level e.g. third year rotations are 2 SCH while fourth year APPE rotations are 6 SCH. Assuming, a faculty member is assigned all P4 rotations, they earn the maximum SCH: 8 rotations X 6 SCH/ rotations = 48 SCH. If a faculty member is assigned all third year rotations, they earn the maximum SCH 8 rotations X 2 SCH / rotation = 16 SCH. Combinations are counted accordingly but double counting SCH for students enrolled in the exact same experiential course is not permitted. Faculty are assigned the mix of students from the Experiential Office.

**Effort devoted to patient care (compensated and uncompensated) shall be determined annually between the Chair and the faculty member.

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PROCEDURE:

Each faculty member must create and self-certify their own *unique* Annual Effort Report based on the prior calendar year activities. The underlying principal of Effort Reporting is that a faculty member retrospectively accounts for 100% of their professional effort. (Spring, summer, and fall teaching will be reported as actually performed; not on the projections in the prior year's teaching grid.) The Annual Effort Report will be submitted as a component of the faculty member's Annual Report and reviewed with the respective Division Head and / or Chair during the annual performance evaluation.) Each faculty member must sign and date an attestation statement:

Attestation Statement: The above table presents a reasonable estimation of my effort distribution for the stated calendar year. I maintain sufficient documentation of percent effort in case of audit.

Appendix A: Example Effort Reports

Department Workload Policy Final July 2011

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Appendix A

Three examples of Potential Effort Reports are Provided Below

Annual Effort Report CY 2011- 2012

Name: _____
Division: _____
Title: _____
Employment status _____
 (FT, 9 month, part time at __ %)

**Example A: Effort Report for a FT Tenured Clinical Sciences and Research
 Division Non-Practitioner Professor**
Note: teaching is expressed as Adjusted SCH per the guidelines

Sponsored Research	% Effort	Key Notes	
Grant A NIH # XXXX	33%	2/6 workdays weekly	PI in year 3
Grant B DOD # XXXXX	33%	2/6 workdays	Co-PI in year 1
Unfunded Research	20%	Grant Prep	R 21
Adjusted Semester Credit Hours: 2.6	20%	2 courses; 1 team leader	See below
School TTUHSC Service	4%	Workload Committee member	Research committee
TOTAL EFFORT	100%		
Assigned teaching: 33 lectures + 24 LEs case studies (.25) + 12 SCH dissertation (.25) = adjusted LEs = 43 = 2.6 Adjusted SCH			

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Example B: Effort Report for a FT Non-tenure Track Associate Professor

Note: teaching is expressed as SCH per the guidelines

Adjusted

Annual Effort Report CY 2011- 2012

Name: _____
 Department/Division: _____
 Title: _____
 Employment status _____
 (FT, 9 month, part time at __ %)

Compensated Patient Care 982 hours (982/2040)	48%	Hourly contract with Hospital	
Adjusted SCH 1.9 plus 45 SCH experiential	26%	2 courses, 0 team leader	
Service	3%	Faculty CE member	
Scholarship	5%		
National office (needs chair approval in advance)	5%		
Residency Program Director	5%		
TOTAL EFFORT	100%		
<p>Assigned teaching : 20 lectures + 32 LEs case studies (.25) + 7 labs(.33) + 3 SCH residency project (.25) = 42 adjusted credit hours = 1.9 adjusted SCH</p>			

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Annual Effort Report CY 2011- 2012

Name: _____
Department/Division: _____
Title: _____
Employment status _____
(FT, 9 month, part time at __ %)

Example C: TT Pharmacy Practice Faculty Administrator
Note: teaching is expressed as Adjusted SCH per the guidelines

HRSA XXXX Grant 3% Salary support plus 3% match	6%		Per grant
Compensated Patient Care 204 hours billed plus 204 hours uncompensated patient care = 408 h	20%	Hourly contract with a LTC facility	
Adjusted SCH 2.1 and 12 SCH experiential	25%	2 courses, 1 team leader 2 rotations	
SOP admissions committee	4%		
Vice Chair for XXXXX	25%		
Grant in preparation	10%		
National office (needs chair approval in advance)	5%	Elected to BOD of XXXX	
Residency Program Director	5%		
TOTAL EFFORT	100%		
Assigned teaching: 22 lectures + 32 LEs case studies (.25) + 12 SCH dissertation (.25) = 33 adjusted LEs = 2.1 adjusted SCH			

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