



Summer Compensation Training

Zoom Guidelines

We ask that everyone turn their video camera on for the entire class to create a more personal and engaging environment.

Please keep your Zoom microphone on mute to silence all background noises.

Class Questions:

- If you have a question:
 - Use the Q&A feature to ask a question (anonymously) at any time.
 - Use the chat to ask a question (visible to everyone in the webinar).
 - You can also raise your hand and ask a question. Remember to Mute after speaking.
- Respond to the Zoom polling questions when prompted. Zoom polling is anonymous!

Speakers

Office of Research Compliance (ORC)

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Office of the Provost

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View more training at the [OSP Training Website](#)

Learning Outcomes

After attending this webinar, you will:

1. Identify the key points of Summer Effort Policies.
 - [Faculty Handbook](#)
 - [Policy 1316](#)
 - [Procedure 1315 PR.03](#)
2. Apply salary allocation and effort alignment.
3. Recognize audit risks and consequences.
4. Locate tools and resources for managing summer effort.

Learning Overview

1. Audit Fundamentals and Consequences of Non-Compliance
2. Overview of Summer Compensation
3. Appointment Types and Allocations
4. Summer Compensation Request Forms
5. Summer Compensation Workflow
6. Effort Alignment and Certification
7. Tools and Recourses

Summer compensation	Pay received during June, July, or August that is in addition to a faculty member's annual base salary; available only to faculty with nine-month academic-year appointments and provided only for work performed during the summer period. Monthly summer salary may not exceed 1/9 of academic-year salary and total summer compensation may not exceed three months. (Slides 13–14)
Summer effort	Effort performed during the summer period (June–August) that corresponds to (and must be commensurate with) any requested/paid summer compensation; academic-year effort does not satisfy a summer salary commitment. (Slides 22, 29, 31, 33, 64)
Effort commitment (summer salary commitment)	A request for summer salary represents a commitment to perform commensurate effort during the summer; Yale is not obligated to pay summer salary, and unpaid committed summer effort has no monetary value. (Slide 22)
Effort certification	An after-the-fact confirmation that effort reasonably reflects the actual level of effort expended on a sponsored project and assures sponsors that proposal commitments were met. (Slide 58)
9-month appointment	A faculty appointment covering the academic year (September–May); faculty with 9-month appointments are eligible for summer compensation, and academic-year salary covers only the 9-month appointment (even if paid over 12 months). (Slides 13–14, 21, 33)



Audit Fundamentals

Jim Luther

Elements of an Effective Compliance Program → Strengthened Internal Controls

- 1) Clear Policies, Procedures, & Roles and Responsibilities
- 2) Designated Compliance Officer and Compliance Committee
- 3) Effective Training and Education
- 4) Effective Lines of Communication (including process for anonymous reporting)
- 5) Risk Assessment Process
- 6) Program Monitoring
- 7) Prompt response to detected problems through corrective actions & enforcement of standards



- **Internal audits** (e.g., Yale internal audit/compliance reviews): Targeted reviews of higher-risk areas; often advisory and control-focused.
- **External audits** (independent auditors, sponsors, regulators): Validate compliance and financial reporting; may include transactions testing.
- **Single Audit (Uniform Guidance)**: Annual institution-wide audit of federal awards; includes **major program** testing and compliance requirements.
- **Sponsor reviews / desk audits**: Sponsors may review specific awards, salary charges, effort documentation, or allowability.
- **Operational reviews** (unit/process): Focus on how work is performed—roles, approvals, segregation of duties, documentation

- **Clarifies expectations:** Confirms what rules actually apply (Yale policy, sponsor terms, regulations) and where interpretations need to be standardized.
- **Reduces risk and surprises:** Identifies issues early—before they become sponsor disallowances, repayment, or reputational harm.
- **Improves processes and controls:** Pinpoints where workflows break down (approvals, documentation, timing) and supports fixes that prevent repeat errors.
- **Strengthens documentation habits:** Helps teams build “audit-ready” support in real time, reducing scramble and rework later.
- **Enables targeted training and resources:** Provides evidence to justify training, staffing, or system changes where risk is concentrated.
- **Validates what’s working:** Audits can confirm effective practices and help the group defend sound decisions with objective support.

- 1) **Planning & scoping:** Define objectives, period, populations (awards, departments), and key risks (e.g., summer salary allowability, effort support).
- 2) **Information request & walkthroughs:** Auditors learn the process, identify key controls, and request supporting docs (policies, payroll records, effort support).
- 3) **Testing:**
 - 1) **Control testing** (are approvals, attestations, and reconciliations happening?)
 - 2) **Substantive testing** (do transactions comply—right account, right period, right % effort, documentation?)
- 4) **Findings & recommendations:** Severity often tied to **likelihood/impact**, repeat issues, and whether control gaps are systemic.
- 5) **Management response & corrective action:** Owners, timelines, and evidence of implementation; sometimes follow-up testing.

Audit Readiness Checklist: Summer Compensation

- **Governance & roles**
 - Clear ownership for initiating, approving, reviewing, and reconciling summer comp charges
- **Allowability & alignment**
 - Charges align to period of performance and the activity benefiting the award
- **Documentation (audit-ready)**
 - Written support contemporaneous with the decision: basis for pay, % effort/level of activity, dates, and approvals
- **Controls & monitoring**
 - Routine monitoring/reconciliation to catch mismatches early (salary vs. planned effort)
- **Changes & corrections**
 - Corrections are timely, clearly justified, and consistently handled
- **Audit response discipline**
 - Focus on root cause + corrective action (not just producing documents)

Consequences of Non-Compliance



Financial penalties



Sponsor
disallowances



False Claims Act
liability

Audit and Compliance – Here to Help!

REALLY!!



What is Summer Compensation?

Maranda Fitzgerald

What is summer compensation?

Summer Compensation is pay received during June, July, or August that is in addition to a faculty member's annual base salary.


- Only faculty with nine-month academic year appointments are eligible for summer compensation, regardless of whether their salary is disbursed over 9 or 12 months.
- Compensation is provided only for work performed during the summer period.
- Maximum compensation limits:
 - Monthly summer salary **may not exceed 1/9 of the academic-year salary.**
 - Total summer compensation **may not exceed three months.**
 - Faculty **may not receive summer compensation for work performed during the academic year.**

Eligibility, Effort, and Employment Restrictions


- Eligible:
 - Faculty on 9-month appointments
- Not Eligible:
 - Faculty with 12-month appointments (YSM, SPH, Nursing)
- Receiving full-time summer salary represents 100% effort committed to Yale for that month
- Faculty **may not accept other employment** during any month in which they receive full-time summer salary from Yale funds
- Required documentation must include:
 - Funding sources
 - Amount of compensation
 - Period during which the summer work is performed

Types of Summer Salary Funding Sources

Source	Description	Effort Based?
9 over 9 Funds	These are the “banked” funded from being in the 9 over 9 program. Funds are grown in the academic year and can be used to fund summer salary or Over the cap (OTC) summer salary	No- not effort based
FAS/ SEAS Bank	Offer letters that state faculty will receive summer months. If there is an available balance, these months can be used to fund summer salary	No- not effort based
Lab Set Up Accounts	Summer months can be provided in offer letters funded by the Provost Office or specifically the SDF. If months AND funds are available on these commitments it can be used to fund summer salary	No- not effort based
NIH - NIH Sponsored Awards	NIH awards only	Yes- effort must happen in the summer
Non-NIH - Non-NIH Sponsored Awards	All other grant awards	Yes- effort must happen in the summer
Yale Summer Session (YSS)	Faculty teaching a session for the YSS program	Yes- effort must happen in the summer
Norfolk Program	Faculty teaching a session at the Norfolk Program within School of Music	Yes- effort must happen in the summer
All other	Faculty working a program, session, assignment, etc during the summer months. Many fall into a specific period activity code (see slide) but default is Yale Summer Compensation (YSC)	Yes- effort must happen in the summer



Faculty members appointed on nine-month terms **may earn additional summer compensation** provided that the work is actually performed during the summer.



Faculty **may not receive additional compensation during the summer for work performed during the academic year.**

Access the [Faculty Handbook](#) on the Office of the Provost website.



Appointment Types and Allocation

Maranda Fitzgerald

Appointment Type & Salary Structure

- Academic Year: September - May
- Faculty paid over 12 months are paid in advance during July and August of each year of appointment and must complete the academic year to earn that salary.
- Under certain conditions, Faculty devoting effort to sponsored research may participate in the 9 over 9 program and will receive payment of salary over 9 months.
- Summer compensation (in addition to regular salary) is possible. Common types of summer compensation at Yale:
 - Research: research work funded by a grant or university-funded account
 - Summer Instruction: teaching courses during the summer for one of the Yale summer programs such as Yale Summer Session (YSS)

Summer Effort & Salary Commitments

- Faculty with academic-year appointments may not propose uncompensated summer effort.
- A request for summer salary represents a commitment to perform commensurate effort during the summer.
- Effort expended during the academic year does not satisfy a summer salary commitment.
- Yale is not obligated to pay summer salary; unpaid committed summer effort has no monetary value.
- Academic, administrative, or dual appointments may preclude a faculty member from devoting 100% effort to sponsored projects during the summer.

Faculty *not* in the 9-over-9 Program

Effort devoted to a sponsored project usually occurs throughout the calendar year. During the academic year, the University generally pays their effort, while the sponsor pays their effort in the summer.

Faculty with 9-month appointments who devote effort to a sponsored award during the academic year may continue to do so but only without formally committing a specific amount of academic-year effort in the proposal, unless they participate in the 9-over-9 program

Generally, faculty not enrolled in the 9-over-9 program must meet all explicit sponsor requirements for commitment of effort via summer salary. Faculty must ensure that the salary proposed for summer effort is budgeted accordingly and used for that purpose.

Faculty 9-over-9 Program FAS, SEAS and YSE

Allows qualified participating faculty to charge a minimum of 1 month and up to 4.5 months of their salary to sponsored projects during the academic year, coincident with when the effort was devoted to the project.

The equivalent salary and fringe benefit charged to the sponsored projects will be put into a research account for use by the faculty member.

Academic year effort and corresponding salary charged to sponsored projects during the academic year is separate from the effort and associated salary charged during the summer months (i.e., summer salary).



Summer Compensation Request Forms

Morgan Lavigne

Summer Compensation Forms

❑ Summer Compensation Request Form (Excel):

- ❑ For faculty to fill out to request summer compensation.

- ❑ **Required:** For any departments who use FRMS services.

- ❑ *Optional:* For any other department or group who do not use FRMS but would like a tool to keep organized.

❑ Summer Salary Spreadsheet (Excel):

- ❑ To calculate and track the details of summer compensation with dollar amounts, COA's, Period Activity Codes, etc.

- ❑ **Required:** For any departments who use FRMS services.

- ❑ *Optional:* For any other department or group who do not use FRMS but would like a tool to keep organized.

❑ Summer Compensation Request Form for Home Department Input (Excel):

- ❑ *Optional:* For any department or group who plans to charge summer compensation to another Cost Center and would like a standardized form to provide the home department the necessary information.

- ❑ A reminder that summer compensation must be input by the home department regardless of Cost Center. Exceptions are Yale Summer Session and Yale New Haven Teachers Institute who will work with the Provost Office to input.

Summer Compensation Request Form (Excel)

Please note this form is updated for 2026

Summer Compensation Request Form

Name:	
Department:	
Contact:	
Lead Admin and/or Ops Manager:	
Post-Award Analyst:	

Remember that summer salary payment requests must be submitted to your Post-Award Analyst by May 1st to be reflected in your

Rules of Summer Compensation:

- 1) Total summer compensation cannot exceed 3.0 months and cannot exceed 1/9th salary per month across all sources.
- 2) Compensation on a sponsored award cannot exceed 2.5 months and cannot exceed 2.0 months if you have other academic roles (dual-appointment). Exception requests should be sent to summercomp.provost@yale.edu ASAP.
- 3) Effort expended during the summer must be commensurate with the months of summer compensation requested.
- 4) Faculty members may not accept other employment while receiving summer salary from Yale-administered funds.
- 5) Summer Compensation may not be paid from departmental funds.

I understand these rules and wish to apply for summer compensation

Indicate effort amount and funding source per month:

Effort dates must coincide with grants charged.

If grant is subject to NIH Cap, OTC must not be charged to another sponsored award, so please indicate if you'd like the over the cap charged to your 9over9 account or other funding sources. (Examples: June GR123456 + OTC)

FY28 Salary
 - FY27 Salar *July and August will be paid at FY27 salary rate

Grant/Funding Source (if subject to NIH cap, indicate OTC funding source(s))	June		July		August		Total	
	Months	Salary in \$	Months	Salary in \$	Months	Salary in \$	Months	Salary in \$
		-		-		-	0.00	-
		-		-		-	0.00	-
		-		-		-	0.00	-
		-		-		-	0.00	-
		-		-		-	0.00	-
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		-		-		-	0.00	-
		-		-		-	0.00	-
		-		-		-	0.00	-
		-		-		-	0.00	-
		-		-		-	0.00	-
Total	0.00	-	0.00	-	0.00	-	0.00	-

Note: Amounts are for salary only. July and August salaries are currently estimated to increase by 3%. Actual rates will become available in mid-July.

Summer Salary Spreadsheet (Excel):

Check to make sure NIH Cap is up to date

Enter the department for the summer salary spreadsheet and the analyst's (your) name

NIH Cap		Annual	Monthly					Department				
		\$ 228,000	\$ 19,000					Physics				
								Preparer	Morgan Lavigne			
Employee Name	Employee #	Primary Academic Rank	9 Month FY26 Salary (\$)	June Monthly Salary	9 Month FY27 Salary (\$)	July & August Monthly Salary	Period Activity	COA Description	June			
									Months	Amount	Start Date	End Date
Jones, Darlene	123456	Professor	250,000	27,777.78	257,500	28,611.11	NIH sponsored awards	NIH	0.3420	9,500.00	6/1/26	6/30/26
				27,777.78		28,611.11	Lab set-up account	NIH OTC	0.1580	4,388.89	6/1/26	6/30/26
				27,777.78		28,611.11	Non-NIH sponsored awards	Foundation	0.2000	5,555.55	6/1/26	6/30/26
				27,777.78		28,611.11	Lab set-up account	Foundation Cost Share	0.1000	2,777.77	6/1/26	6/30/26
				27,777.78		28,611.11	Non-NIH sponsored awards	NSF	0.2000	5,555.55	6/1/26	6/30/26
									1.0000	27,777.76		

Employee ID can be found in Workday under the **Personal** tab on the left, then the **IDs** tab on the top

Enter the faculty rank. If they have a Dean or Chair appointment, make sure to select the appointment that includes "(with Administrative appointment)".

Enter the faculty's current salary.

The new year salary will be escalated by 3%. Make sure to update this when increases are released in mid/late June.

Enter the period activity pay categories that you are responsible for (see instruction tab of the summer salary spreadsheet)

Give a short description of the COA that can help distinguish among the PI's other COAs.

Enter either the months or amount.

Once entering one column the other column will auto calculate based on the salary.

For faculty over the NIH cap, use the NIH salary cap calculator on the example tab of the summer salary spreadsheet.

Payment start and end dates will auto populate based on the month. Change if not the full month and highlight it for your DBO.

Summer Salary Spreadsheet: Errors and COAs

July				August				Total		Grant	GS/YD	CC	Program	Project	As
Months	Amount	Start Date	End Date	Months	Amount	Start Date	End Date	Months	Amount						
0.6641	19,001.00	7/1/26	7/31/26	0.1660	4,750.00	8/1/26	8/31/26	1.1721	33,251.00	GR000001					
0.0840	2,402.78	7/1/26	7/31/26	0.0840	2,402.78	8/1/26	8/31/26	0.3260	9,194.45	GR000001	YD000248	CC0501	PG00032	PJ000001	D
0.2000	5,722.22	7/1/26	7/31/26	0.2000	5,722.22	8/1/26	8/31/26	0.6000	16,999.99	GR000003					
0.1000	2,861.11	7/1/26	7/31/26	0.1000	2,861.11	8/1/26	8/31/26	0.3000	8,499.99	GR000003	YD000248	CC0501	PG00032	PJ000001	D
0.2000	5,722.22	7/1/26	7/31/26	0.2000	5,722.22	8/1/26	8/31/26	0.6000	16,999.99	GR000002					
1.2481	35,709.33	ERROR reduce NIH below 19,000		0.7500	21,458.33			2.9981	84,945.42						

Your totals will turn **red** if you exceed one month of effort.

If you exceed one month of the NIH cap on NIH period activity pay lines, you will receive the message **“ERROR reduce NIH below xx,xxxx”**

Your total will turn **red** if you exceed 2.5 months for regular faculty appointments or **orange** if you exceed 2.0 months for those with administrative appointments.

1. Enter the COA for each line.
2. If using a grant, only the GR number is needed.
3. If charging a cost share or non-sponsored account, you must enter the full COA.
4. If charging cost share: DBO must first enter the GR number in Workday, THEN the YD/GS/GE to ensure correct fund populates.

Summer Salary Spreadsheet : Totals

Total Cost to Award			NIH % effort	OPTIONAL TRACKING / MAINTENANCE SECTION					
Fringe	IDC Rate	Total Cost	Total for COA	Entered by Dept Y/N	Emailed PI? Y/N	Confirmation on File?	Award End Date	Committed Effort	FRMS Notes
5,434.00	67.5%	40,926.95	1.00						
2,961.45	0.0%	12,155.90							
4,879.66	10.0%	24,067.62							
2,742.89	0.0%	11,242.88							
4,879.66	67.5%	36,648.42							
20,897.66		125,041.76	1.00						

Fringe will calculate based on the period activity pay.

Enter your IDC rate

The total cost column can help you ensure there are sufficient funds in the COA.

This column will show you effort based on the NIH salary cap for NIH period activity pay lines.

Optional Tracking/Maintenance Section - You are welcome to use this section to track the status of your summer salary requests.

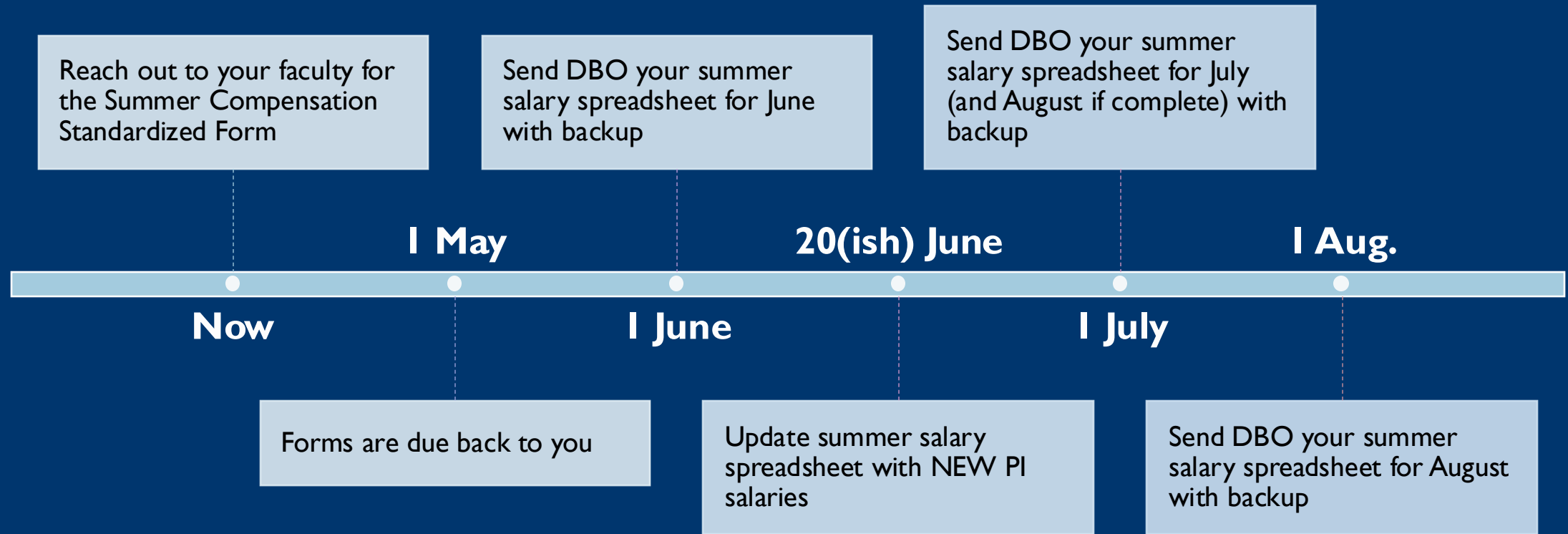
Keep in FRMS files and send to DBO with Summer Salary Spreadsheet:

- Confirmation of PI effort on Summer Compensation Standardized form and/or email confirmation.
- Any provost approvals, e.g., 2.5- or 2.0-month exception approvals.
- Med School DBO and Med School PI approvals.

For the DBO to keep in their files:

- Letters engaging PIs in teaching or summer programs.

Departments who use FRMS: Timeline



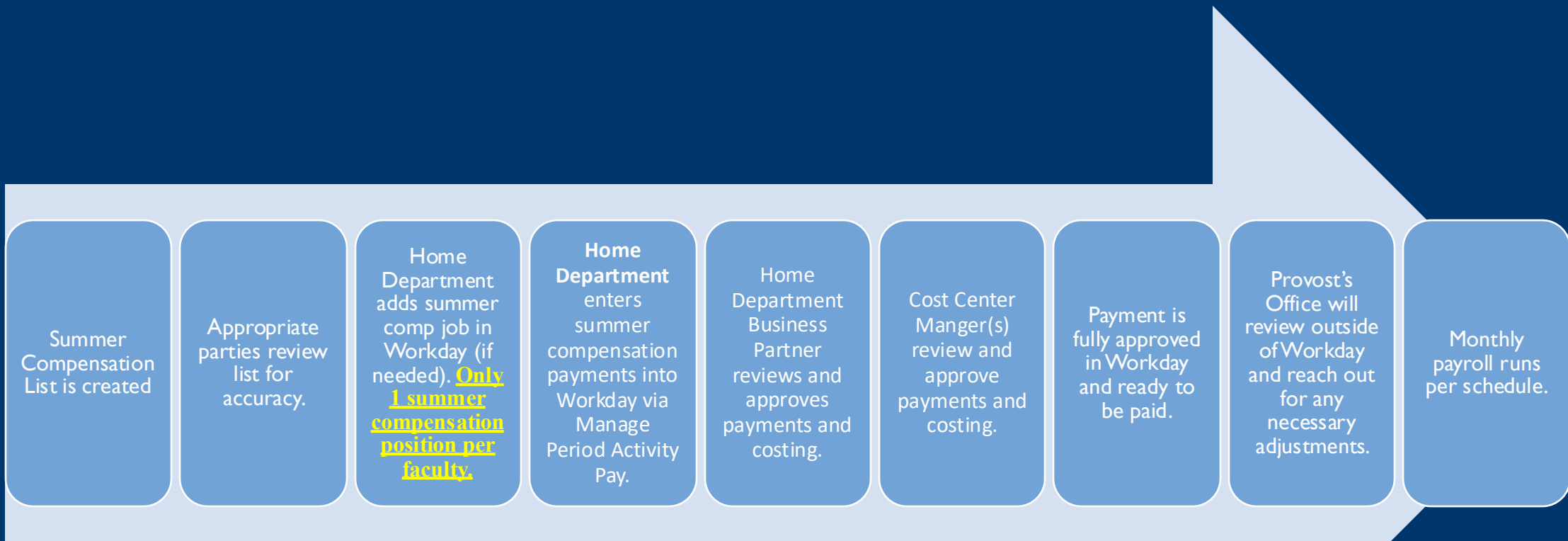
*If the first of the month falls on a weekend, FRMS will send the spreadsheet the Friday before.



Summer Compensation Workflow

Audrey Hom

Summer Compensation Workflow



Approval Routing

1. Home department requestor inputs
2. Home department business partner reviews and approves
3. Cost Center Managers review and approve
 1. IF there are multiple cost centers on the charging instructions then 1 cost center manager from each will need to approve the payment before fully approved.
 2. If there is more than one cost center manager for cost center A, only one of those cost center managers need to approve. (Same approval routing as journal entries).

Process History							
Process	Step	Status	Completed On	Due Date	Person (Up to 5)	All Persons	Comment
Period Activity Pay	Period Activity Pay	Submitted	4/1/2025 14:44		Requestor, Department	1	
Period Activity Pay	Review Period Activity Pay Assignment	Approved	4/1/2025 14:45	4/2/2025	Partner, Business	1	
Period Activity Pay	Approval by Cost Center Manager	Awaiting Action			Cost Center Manager, A1	3	
					Cost Center Manager, A2	3	
					Cost Center Manager, A3	3	
Period Activity Pay	Approval by Cost Center Manager	Awaiting Action			Cost Center Manager, B1	2	
					Cost Center Manager, B2	2	

Approver Responsibility

Approvers are responsible for ensuring the accuracy of all details of summer compensation payments.

Approvers include the requestor of the payment, business partner approver and cost center manager approvers.

Eligible	Funding Source	Available Funds	Period Activity Code	Payment Amount	Grant Caps	Justification
<ul style="list-style-type: none">✓ Ensure the person is eligible to receive summer compensation based on rank and appointment effective dates.	<ul style="list-style-type: none">✓ Correct funding sources are being used.	<ul style="list-style-type: none">✓ Funding sources should have enough funds to cover salary and fringe.	<ul style="list-style-type: none">✓ Correct Period Activity Codes and COA's are being used.	<ul style="list-style-type: none">✓ Each monthly payment cannot be over 1/9th.✓ <i>The Provost's Office will also review summer comp payments to ensure all 1/9th and caps are being met. We'll reach out to departments as needed.</i>	<ul style="list-style-type: none">✓ Grant funding source cap of 2.5/9ths✓ Dual academic administrative appointments (Dept Chair, Dean or Head of College), the grant cap is 2/9ths✓ <i>Exceptions must be approved by the Provost Office for anything above the noted caps.</i>	<ul style="list-style-type: none">✓ Make sure you have reviewed the justification for the payment and have the appropriate documentation.✓ Appropriate documentation can be uploaded onto the Manage Period Activity Pay.

Period Activity Pay screen

Academic Period * Summer Compensation (June 2025) 16,666.66 USD

For more information, please visit Summer Compensation Website.
<https://facultyadmin.yale.edu/administrative-processes/managing-compensation/summer-compensation>

Rate Matrix Yale Period Activity Pay

Reason * Period Activity > New
 X Assignment > Summer Compensation Assignment

1 item

*Activity	*Activity Dates	*Units	*Compensation	Payments
Activity * <input type="text" value="X Non-NIH - Non-NIH Sponsored Awards"/> Task <input type="text"/> Comment <input type="text"/>	Start Date * <input type="text" value="06/01/2025"/> End Date * <input type="text" value="06/30/2025"/> Use as Payment Date Range <input checked="" type="checkbox"/> Weeks in Activity Period 4.29	Unit Type Summer Compensation Element Quantity * <input type="text" value="1"/> Default Quantity 0 Assigned Unit Rate * <input type="text" value="16,666.66"/> Default Unit Rate 1.00	Total Amount * <input type="text" value="16,666.66"/> Currency USD Costing Overrides <input type="text" value="1"/>	Start Date <input type="text" value="06/01/2025"/> End Date <input type="text" value="06/30/2025"/> Do Not Pay <input type="checkbox"/> <input type="button" value="Customize 1 Payment"/> Customized <input type="checkbox"/> Remaining Balance

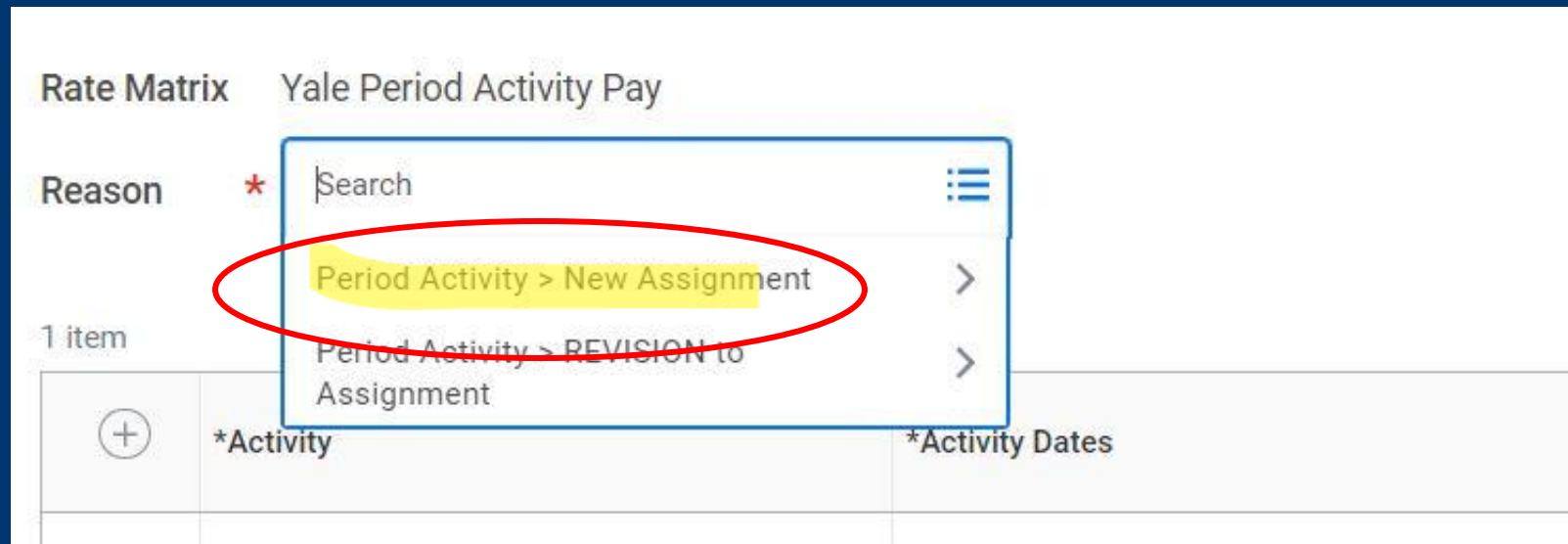
Briefly indicate the justification for the payment. For example, “per offer letter dated 2/25/2025” or “per the grant budget”. If it is a payment for summer work, attach the hire letter to the transaction.

For **REPLACING** or **ADDING** to a completed BP, please indicate what you’re doing such as: “Addition to June payment on 7/10/25. Adding \$8,000 charged to GRXXXX” or “Replacing July summer comp with split charging and increased amounts”. This helps us distinguish between the old and new transactions.

Enter COA by clicking this button

Correcting a Summer Compensation Transaction: Before Payroll Run

- ❑ If you need to correct a summer compensation transaction, you may be able to make changes in Workday. The types of changes you can make will depend on whether the Payroll has not yet started to calculate, is calculating or is complete.
 - ❑ In Workday, initiate Manage Period Activity Pay and select time frame and position as per usual.
 - ❑ For the Reason Code, select the 2nd option “Period Activity>REVISION to Assignment” Reason
 - ❑ Use the plus and minus button to add or remove as needed



Correcting a Summer Compensation Transaction: Yale

After Payroll Run

SCENARIO:	HOW TO CORRECT:
Payroll is COMPLETE Add additional funds for retroactive payment (underpayment)	Initiate Manage Period Activity Pay Process <ul style="list-style-type: none">- Select the "REVISION" reason code- Click "+" to add new row(s) and enter the correct information.- Activity dates should align with the Activity Period.- Payment Dates must be updated to align with the next payroll dates. <i>Note: Payment dates can be complicated for expired grants, so contact the Provost's Office before processing these payments.</i>
Recover an overpayment	<ul style="list-style-type: none">- If payroll is complete, you cannot alter the transaction. If the person has been overpaid, you will need to prepare a Payroll Adjustment form. Contact the Provost's Office for guidance.

Period Activity Codes

Period Activity Code	Description	Use
9/9 - Faculty 9 Over 9 Account	Participants in the 9 over 9 program only. There should be an available balance in the faculty's YD000248 account.	YD value must be: YD000248 9-over-9 Funded. This is the only code that can be used for this YD value.
AYA - Association of Yale Alumni	Yale Alumni Association summer compensation only	Position of "Summer Compensation - Association of Yale Alumni"
FAS Bank - Summer Bank	Summer Comp Banked months provided and managed by FAS	YD000004.CCxxxx.PG00003.PJ000001
SEAS Bank - Summer Bank	Summer Comp Banked months provided and managed by SEAS	YD000004.CC1873.PG00003.PJ00001.asignee
DIV- Divinity Summer Courses	Divinity School Summer compensation	Position of "Summer Compensation - School of Divinity"
PRV LSU - Lab Set-Up Account from Provost (non-SDF)	Summer months included in the research start up portion of an offer letter that are funded by the Provost Office (but not SDF). YCNCC, WTI commitments.	YD Value must be YD000245 Provost Funded - General
SDF LSU - Lab Set-Up Account	Summer months included in the research start up portion of an offer letter that are funded by the Science Development Fund (SDF). You should have an SDF commitment number to confirm appropriate available funding.	YD Value must be the YD determined on the SDF commitment. Most commonly: YD000268 SDF Funded - Recruitment - Research SDF must be noted in the YD value, no other YD value can be used on this period activity code.
NIH - NIH Sponsored Awards	NIH awards only.	Grant must be used in the COA segment. If unsure, work with your FRMS analyst to determine if your Grant is NIH or not.
Non-NIH - Non-NIH Sponsored Awards	All other grant awards.	Grant must be used in the COA segment. If unsure, work with your FRMS analyst to determine if your Grant is NIH or not.
NOR - Norfolk Program	Norfolk Program within School of Music	Any School who participates in the Norfolk Program. Example, Position of "Summer Compensation - School of Music" and "Summer Compensation - School of Art".
NUS - Yale-NUS Summer Programs	Teaching in Yale-NUS Summer Global Institute and Leadership Program	Cost Center: CC0088 YCONUS Yale-NUS New Haven
OIA - Office of International Affairs Programs	Summer session for supervisory org of OIA/Global Scholars. This is not for Yale Global Scholars Program, there is a separate period activity code for this.	Cost Center: CC1719 VPGOIA Leadership Programs
TI - Teachers Institute	Yale New Haven Teachers Institute	Position of "Summer Compensation - Yale-New Haven Teachers Institute" Cost Center: CC0260 ACANTI Yale-New Haven Teachers Institute
YSG - Yale Global Scholars Program	Yale Global Scholars Program	Program: PG01310 Young Global Scholars (22) Cost Center: CC0094 VPGOIA Young Global Scholars
YSS - Yale Summer Session Program	Yale Summer Session	Only to be used by the Yale Summer Session team
YSC - Yale Summer Compensation (all other not listed above)	All other Summer Compensation	Anything that doesn't fall into another category. Should be Non-Grant, Unrestricted funding.

Please ensure accurate period activity codes with the correct COA.

*FRMS frequently used codes highlighted in yellow.

New OFAS Workday Documentation Process

1. Documents will now be attached directly within Workday business processes for faculty appointees. You will no longer need to submit supporting documents to Salesforce by emailing faculty.admin@yale.edu.
2. A nightly refresh will ensure all attachments in Workday are securely transferred to Hyland OnBase, and ensure documents from these processes are saved to the worker profile within Workday.
3. Documentation category: Summer compensation document
4. For other processes there are new security groups and document categories (Faculty Documents - Visible and Faculty Documents - Non-Visible) that have been created to ensure appropriate visibility and permissions. For Manage Period Activity Pay the category will always be Summer Compensation documentation.
5. Training Materials: <https://facultyadmin.yale.edu/admin-processes>

Documentation Types

Please ensure any summer compensation documentation that you find relevant to each summer compensation transaction.

Departments that will hire a faculty member for specific employment, such as teaching a summer program, should issue a hire letter and attach it to the summer compensation business process.

Hire letters must include the dates that the work will be performed, the amount of the payment and a brief description of the work. Only emails between staff members about the payment are not sufficient.

Departments need to receive and document approval of summer compensation payments if processing for other departments, such as for an allocation to a grant held at the Med School.

Hire letters for summer teaching programs are different from university appointment letters for Assistant, Associate and full Professor appointments. **There is no need to upload faculty appointment letters in Workday as they should already be in Workday during the hire event.**

Do not upload back-up for Grants, 9/9 or LSU summer comp-this includes emails with faculty members. Departments are expected to validate and maintain records justifying summer compensation allocations internally.

Exceptions

Summer Compensation Effort Flowchart

1/9th	2/9ths	2.5/9ths	Above 2.5/9ths and up to 3/9ths
<p>Total Payment</p> <p>Each monthly payment cannot exceed more than 1/9th of faculty's base salary.</p> <p>One-ninth of summer salary represents 100% effort for effort reporting purposes</p>	<p>Dual academic administrative appointments (Chair, Head of College, Dean):</p> <p>Overall cap for the summer is reduced by an additional half-ninth. People in this category are capped at 2 ninths on grants.</p>	<p>Grants:</p> <p>Yale has a funding cap of 2.5 ninths when the funding source is from external sources, e.g., grants. The purpose of this cap on external funds ninths is to ensure people are paying close attention to Effort Reporting Requirements on grant payments.</p> <p>With Exception:</p> <p>Dual academic administrative appointments (Chair, Head of College, Dean):</p> <p>With a Provostial exception, people in this group can go up to 2.5 ninths maximum from grants for the summer.</p>	<p>Internal funding sources:</p> <p>There are occasionally situations where someone has sufficient funding sources to receive 3 full ninths from a variety of different sources—university research funding, grants, summer program teaching etc. As long as the overall total is under 3 ninths and the grant-funded piece is at 2.5 ninths or less, faculty do not need to request an exception from the Provost's Office.</p> <p>With Exception:</p> <p>Grants:</p> <p>When someone wants to put anything above 2.5 ninths on grants/ external sources, they should submit a request to the Provost's Office for an exception before the transaction is approved in Workday.</p>

Departmental business partners **must receive signed approval** by the Provost's Office for the exception requests **before the exception occurs.**

Exception Request Process

1. All exception requests to exceed maximum effort must be submitted to summercomp.provost@yale.edu.
2. Summer compensation exception form must be filled out and submitted for approval **PRIOR** to the exception occurring.
3. Input of the exception into Workday can only occur after a final signed approval form is received by the department.
4. Please find the exception form at: <https://facultyadmin.yale.edu/administrative-processes/managing-compensation/summer-compensation>

Exception Form

Summer Compensation:
Exception request to receive >2.5 months against sponsored awards
(Requests should be submitted to summercomp.provost@yale.edu)
(Subject: Permission to receive # months of summer compensation charged to sponsored awards)

*Exception Requests and Approval must be complete **prior** to exception occurring.*

Requestor Name:	Lead Admin Contact Name:
Department:	FRMS Contact Name:
Faculty Name:	Additional Contacts if needed:

Requesting permission to receive months of salary for summer charged to sponsored awards.

Enrolled in the 9 over 9 program? Yes: No: Other:

Dual Appointment? Yes: No:

Are you able to meet the expectation of the award using effort in the academic year instead of needing an exception for summer effort? Yes: No:

Explanation:

Details on why an exception for summer compensation is needed: (Ex. Award is ending in October, maxed out on academic effort, need one-time exception)

Attestation:

I am verifying I have requested this exception to meet my current effort commitments to sponsors.

Working with FRMS, I have reduced my effort commitments within the percentage allowable for both the academic and summer periods. Further reductions will exceed 25% or more from the level of effort committed to my awards and would therefore be considered a significant reduction requiring prior approval from the sponsor.

In requesting this exception for summer salary from non-university (external) sponsored research funds, I agree that I will not be:

- carrying out activities inconsistent with the effort defined for sponsored project(s);
- performing significant administrative activities (e.g., departmental, University, national, editorial);
- taking more than minimal time away; teaching or preparing for teaching.

I am verifying that I understand that this exception for above 2.5 months (2 months for Dual) needs to be provided and approved before the certification of summer month effort.

Faculty Name:	Faculty Signature:	Date:
Dept. Chair Name:	Dept. Chair Signature:	Date:
Provost Name:	Provost Signature:	Date:

Deadlines

1. Please approve summer compensation BPs by the 15th of the month.
 1. This will allow time for the Provost's Office to review all payments prior to the payroll run.
 2. Departments should also carefully review their summer comp transactions using the Payroll Results report.

JUNE							JULY							AUGUST						
Su	Mo	Tu	We	Th	Fr	Sa	Su	Mo	Tu	We	Th	Fr	Sa	Su	Mo	Tu	We	Th	Fr	Sa
31	1	2	3	4	5	6	28	29	30	1	2	3	4	26	27	28	29	30	31	1
7	8	9	10	11	12	13	5	6	7	8	9	10	11	2	3	4	5	6	7	8
14	15	16	17	18	19	20	12	13	14	15	16	17	18	9	10	11	12	13	14	15
21	22	23	24	25	26	27	19	20	21	22	23	24	25	16	17	18	19	20	21	22
28	29	30	1	2	3	4	26	27	28	29	30	31	1	23	24	25	26	27	28	29
5	6	7	8	9	10	11	2	3	4	5	6	7	8	30	31	1	2	3	4	5



Effort Alignment and Certification

Maranda Fitzgerald

Effort Certification Requirements

- Proposed effort must be commensurate with proposed salary.
- Yale is committed to sponsors to ensure that the effort commitments are met
- Salary charged cannot be in excess of effort devoted.
- Effort Certification Statements are required for individuals whose salary is charged to sponsored awards.
- 9-month faculty may receive summer compensation only for effort devoted in the summer.
- Sanctions may be imposed for non-compliance.

- Certification is an after-the-fact confirmation of where effort was expended.
 - Reasonably reflect the actual level of effort expended on a sponsored project.
- Must assure sponsors that the commitment made in the proposal is met.
- PAAs related to summer effort require approval by the Provost Business Office

Access the [Policy 1315 Effort Reporting: Certifying Effort on Sponsored Projects](#)

Payroll Accounting Adjustments (PAA's)

- PAAs are used to correct salary charges when effort and pay are misaligned.

- All PAAs related to summer effort must be:
 - Reviewed and approved by the Provost's Office
 - Approved prior to entry into Workday

- Requests must be submitted to:
 - Summercomp.provost@yale.edu

- Include:
 - Transaction details
 - COA
 - Clear Explanation of why the PAA is necessary



Tools and Resources

<https://facultyadmin.yale.edu/administrative-processes/managing-compensation/summer-compensation>

1. Paying Summer Compensation in Workday

1. Instructions for entering summer comp payments using the Workday business process, Manage Period Activity Pay Assignments, as well as instructions for creating a Summer Compensation or Teacher Summer Programs job
2. <https://workday.training.yale.edu/training-materials/paying-summer-compensation-workday>

2. Processing Summer Instructors

1. Explains how different faculty are handled over the summer
2. <https://workday.training.yale.edu/training-materials/processing-summer-instructors>

3. Transferring Faculty to Summer Session

1. Instructions for transferring faculty who are teaching in Summer Session if they are being terminated in your department
2. <https://workday.training.yale.edu/training-materials/transferring-faculty-summer-session>

4. Revise a Summer Compensation Transaction

1. Instructions on how to revise/edit a summer compensation in Manager Period Activity pay prior to payroll run.
2. <https://workday.training.yale.edu/training-materials/paying-summer-compensation-workday>



Questions?

Please send all questions, exception requests, PAA requests to summercomp.provost@yale.edu

Thank you!
Please complete our survey.



Questions about this presentation?
Email: osp.trainings@yale.edu

Test Your Knowledge



Test Your Knowledge: #1 Question

Dr. Green will receive full-time summer salary from Yale in June but plans to take a paid teaching job at another university that same month. Is this compliant?

- A. Yes, as long as the outside work is done outside Yale hours.
- B. No, faculty may not accept other employment during any month they receive full-time summer salary from Yale-administered funds.
- C. Yes, if the outside work is unpaid.
- D. Yes, if approved by the Provost.

Test Your Knowledge: #1 Answer

Dr. Green will receive full-time summer salary from Yale in June but plans to take a paid teaching job at another university that same month. Is this compliant?

A. Yes, as long as the outside work is done outside Yale hours.

B. No, faculty may not accept other employment during any month they receive full-time summer salary from Yale-administered funds.

C. Yes, if the outside work is unpaid.

D. Yes, if approved by the Provost.

When a faculty member receives full-time summer salary from Yale, it represents 100% effort committed to Yale for that month. Because full-time summer salary reflects full-time effort, the faculty member cannot engage in any other employment during that month.

Test Your Knowledge: #2 Question

When a faculty member requests summer salary, what does this indicate?

- A. Commitment to put forth effort during the academic year.
- B. No specific commitment is required.
- C. A commitment to put forth commensurate effort during the summer.
- D. A commitment to work full-time for the entire calendar year.

Test Your Knowledge: #2 Answer

When a faculty member requests summer salary, what does this indicate?

A. Commitment to put forth effort during the academic year.

B. No specific commitment is required.

C. A commitment to put forth commensurate effort during the summer.

D. A commitment to work full-time for the entire calendar year.

Test Your Knowledge: #3 Question

If a faculty member receives summer salary compensation, when must the effort be performed?

- A. During the academic year.
- B. During the summer, commensurate with the salary received.
- C. Anytime during the calendar year.
- D. Before the award start date.

Test Your Knowledge: #3 Answer

If a faculty member receives summer salary compensation, when must the effort be performed?

A. During the academic year.

B. During the summer, commensurate with the salary received.

C. Anytime during the calendar year.

D. Before the award start date.

Test Your Knowledge: #4 Question

Can effort expended during the academic year satisfy a commitment related to summer salary?

- A. No, summer salary commitments must be met during the summer period.
- B. Yes, as long as the total effort equals the proposed amount.
- C. Yes, if approved by the sponsor.
- D. Yes, if documented in effort reports.

Can effort expended during the academic year satisfy a commitment related to summer salary?

- A. No, summer salary commitments must be met during the summer period.
- B. Yes, as long as the total effort equals the proposed amount.
- C. Yes, if approved by the sponsor.
- D. Yes, if documented in effort reports.

Test Your Knowledge: #5 Question

A faculty member on a 9-month appointment, paid over 12 months, reports that they are expending effort on a sponsored project in August, but they are not receiving summer compensation for that month.

Should the faculty member be expending effort on a sponsored award in August if they are not receiving summer salary, and can that effort be supported by academic-year salary?

A. Yes — Academic-year salary can support effort in August even without summer compensation.

B. No — Summer effort must be supported by summer salary; academic-year salary cannot support August effort for 9-month faculty.

C. Yes — As long as the faculty member is working, the effort can be recorded regardless of salary period.

D. Not sure.

Test Your Knowledge: #5 Answer

A faculty member on a 9-month appointment, paid over 12 months, reports that they are expending effort on a sponsored project in August, but they are not receiving summer compensation for that month.

Should the faculty member be expending effort on a sponsored award in August if they are not receiving summer salary, *and* can that effort be supported by academic-year salary?

A. Yes — Academic-year salary can support effort in August even without summer compensation.

B. No — Summer effort must be supported by 'Summer Compensation'; 'Regular Salary – Academic Pay' cannot support August effort for 9-month faculty.

C. Yes — As long as the faculty member is working, the effort can be recorded regardless of salary period.

D. Not sure.

Academic salary covers only the 9-month appointment, even if it is paid over 12 months. It cannot be used to pay for or justify work done in the summer. For 9-month faculty, any work done in June, July, or August must be supported by summer compensation.

Test Your Knowledge: #6 Question

A faculty member with a 9-month appointment has expended effort on a sponsored award throughout the academic year. The effort was intended to fulfill their 1-month summer salary commitment on that same sponsored award.

Should the faculty member receive summer compensation and charge the sponsored award during the summer months for effort that was actually expended during the academic year?

- A. No — Summer compensation must reflect effort actually performed in the summer; academic-year effort cannot fulfill a summer salary commitment.
- B. Yes — Summer salary can be charged even if the effort occurred during the academic year.
- C. Yes — As long as total committed effort is met, timing does not matter.
- D. Not sure.

Test Your Knowledge: #6 Answer

Scenario: A faculty member with a 9-month appointment has expended effort on a sponsored award throughout the academic year. The effort was intended to fulfill their 1-month summer salary commitment on that same sponsored award.

Should the faculty member receive summer compensation and charge the sponsored award during the summer months for effort that was actually *expended* during the academic year?

A. No — Summer compensation must reflect effort actually performed in the summer; academic-year effort cannot fulfill a summer salary commitment.

B. Yes — Summer salary can be charged even if the effort occurred during the academic year.

C. Yes — As long as total committed effort is met, timing does not matter.

D. Not sure.

Effort expended during the academic year does not fulfill a commitment associated with summer salary. Faculty with 9-month appointments may devote effort to sponsored projects during the academic year; however, unless they participate in the 9-over-9 program, they may not formally commit a specific amount of academic-year effort in a proposal. Faculty not enrolled in the 9-over-9 program must meet all explicit sponsor effort requirements through summer salary. Charging summer salary to a sponsored project implies that at least a commensurate amount of effort has been expended on those projects during the summer effort period