SIO Support Policy for PI's Paid Exclusively from Federal Awards
November 2012

SIO has developed the following implementation guidelines in response to the July 5, 2012 Office of Research Affairs (ORA) policy statement regarding salary support for PI's paid exclusively from federal awards (attached for reference).

The ORA policy applies to employees who have, as an expectation of their position, a requirement to raise 100% of their salary support from extramural sources, e.g., self-funded researchers. Project scientists and specialists deriving 95% or more of their salary support from sponsored projects on which they are PI or co-PI (by exception) also may be eligible for 3% institutional support. These cases will be reviewed annually (see note below).

The maximum amount of institutional support provided via this policy is 3% of an employee's total annual base salary.

The ORA policy does NOT apply to:

• employees who already receive fractional salary support from the Institution, e.g., professors, institutionally-funded researchers at the associate or full level, retention cases that include salary support (for the duration of the retention agreement), and return-to-active-duty (RTAD) retirees.

• employees who are not expected to write/submit proposals for their own salary support as a requirement of their position even though they might derive 100% of their salary from extramural sources, e.g., post doctoral employees, programmer/analysts, development engineers, staff research associates, visiting scientists, academic coordinators, academic administrators, managers (functional area), directors (functional area), marine superintendents, graduate student researchers, or project scientists/specialists not meeting the criteria outlined above. This list is not intended to be exhaustive.

• employees who derive 100% of their salary from extramural sources yet are working in units that can provide (from their organization's budget) fractional salary support to correspond with time spent writing proposals, e.g., MarFac/STS, Sea Grant, BAS.

Note: In July, Research Divisions should review prior year and projected support for each Project Scientist and Specialist position to determine
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eligibility for the 3% support. For those newly eligible, confirming that the projected FY salary support is 95% from grants/contracts on which the candidate is co- or sole PI is required. For those receiving continuing 3% support, confirmation that the 95% threshold was met in the prior year is also required. Salaries will be paid directly on SIO funds and once eligibility has been determined, divisions should contact SIO Administration with salary information and to receive PPS authorization. For FY13, Divisions should review projected support for these positions for the period 1/1/13-6/30/13 and if the 95% threshold is met, contact SIO Administration with salary information and to receive PPS authorization.

ADDENDUM to SIO policy on 3% support for extramurally funded investigators:

The 3% support for extramurally funded investigators will continue (at least initially) when a researcher voluntarily reduces his/her appointment to less than 100%. All reductions in time should be reported by the cognizant MSO to the Deputy Director for Research (Jeff Gee), Doug Bennett, and Lil Dockery. The DDR will evaluate each case in concert with the investigator's section head and MSO and then will determine the terms/conditions for continued eligibility in light of each investigator's particular circumstances, e.g., anticipated duration of reduced appointment.
POLICY STATEMENT ON PERCENT SALARY FOR PRINCIPAL INVESTIGATORS PAID EXCLUSIVELY FROM FEDERAL AWARDS

Effective July 1, 2012, Principal Investigators may receive no more than 97% of their salary from federal awards, including federal flow through-funding. This Policy applies to all Principal Investigators whose salary is derived entirely from federal awards. This Policy does not apply to Principal Investigators who receive partial funding from other sources (e.g. State of California, industry, non-profits).

As a result of a review by cognizant federal agencies, the University must ensure that activities that are considered part of a Principal Investigator’s institutional responsibilities and that do not directly benefit a Federal award are ineligible for direct support from federal extramural awards.

Academic Research appointees, in series such as Research Scientist, Adjunct Professor and Professor In-Residence; and series such as Project Scientists who are Principal Investigators by exception, shall not charge as part of their institutional base salary for 100% extramurally sponsored research, non-award related activities such as public service, non grant-related administrative duties, grant-writing, peer-review of papers and proposals, etc. during the period of the award. Discretionary fund sources such as core university funds may be used to supplement up to 100% of salary. Non-federal awards may be charged only when there is a corresponding direct benefit to the project for the salary charged.

Business Officers, in conjunction with their respective Deans and/or Chairs, should establish practices that average all activities of the academic research appointees on federally sponsored activities on an annual basis as a means to comply with this policy.

UC San Diego
Office of Research Affairs
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