This document replaces the "Frieman policy" put forth on May 27, 1994, describing SIO institutional support for academic personnel who hold the titles of Researcher.

Section 1 Institutional Support

SIO’s intention is to provide ongoing salary support to our Researchers, primarily as matching funds to Researcher extramural funds. At the present time the following support levels are provided to 100% research appointees, with the understanding that the balance of their salary will be covered by extramural funds. Funded Researchers are eligible for 25% and 50% support as they advance; self-funded Researchers are limited to 5% institutional support at all ranks. All Researchers are eligible for bridge funding (section 2 of this policy).

- 50% for full or distinguished funded Researchers
- 25% for associate funded Researchers
- 5% for all ranks self-funded Researchers
- 0% for RTAD Researchers.

This support is adjusted accordingly if the Researcher reduces his or her time and/or receives other institutional support. Further, institutional funding limitations may require changes to the above levels of support per the following guidelines:

- For 5% funded Researchers, this institutional support level is evaluated annually as outlined in the Scripps Policy “Percent Salary for Extramurally Funded Investigators - November 2012.” If 5% Researchers receive bridge funding (see section 2 of this policy), the 5% support will not be added to the bridge funding amount.

- This support is subject to the availability of funds. If insufficient funds are available, an across-the-board reduction could be made or a queue might be created for future support.

- SIO institutional support will be paid during periods of active service at SIO, periods of SIO Field Research or Change of Active Duty Station, and while on approved leave with pay (prorated to the percentage of leave). SIO institutional support is neither paid nor accrued during periods of leave without pay.

- SIO institutional support is based on the salaried appointment as Researcher, whether 11-month or 9-month according to the basis of the appointment. SIO institutional support is not applied to summer salary for 9-month appointees.

- SIO institutional support is prorated to the funded Researcher's salaried appointment,
and support is adjusted accordingly if the Researcher reduces his or her time and/or receives other institutional support.

- Bridge funds (see Section 2) do not count as extramural funds; they are institutional funds.

The following formula should help further define the levels of support provided. Assuming sufficient external funds are available, the formula for \( S \) is:

\[
S = F^*(R*C-B)
\]

**S** = SIO Institutional Support  
**F** = Funding factor is the percent a Researcher is funded:  
- \( F = 0.05 \) for self-funded Researchers at all ranks  
- \( F = 0.25 \) for funded Associate Researchers  
- \( F = 0.50 \) for funded Full or Distinguished Researchers  
- \( F = 0.00 \) for RTAD Researchers  
  
  Note that for funded Associate, Full, and Distinguished Researchers, the SIO Institutional support is provided only as matching funds to other support at a 1:1 ratio for \( F = 0.50 \) and a 1:3 ratio for \( F = 0.25 \).

**R** = percentage of time for appointment as Researcher and/or Lecturer. (\( R \) will be between 0.0 and 1.0; it might be less than 1.0 because of a voluntary reduction in time, or because the Researcher also holds an appointment with another title. For example, a Researcher who also holds a 50% appointment as Academic Administrator would have \( R = 0.5 \), but a Researcher receiving 20% salary as Lecturer in order to teach would still have \( R = 1.0 \) during the period of the Lecturer appointment.)

**C** = level of compensation including bonuses or off-scale salary  
**B** = Bridge funding (see below)

See Appendix A for sample calculations

**Section 2 Bridge Funding**

Continuity of employment for skilled Researchers is vital to the future productivity of Scripps. When lack of funding for salary support threatens employment, Scripps strives to provide bridge support if the overall institutional budget allows. This document describes the guidelines for this policy.

According to University of California policy, Professional Research Series Scientists are not granted tenure or security of employment, even if they are granted partial salary funding from State resources. Appointment is contingent upon availability of funding, institutional need, and performance.
Eligibility

These guidelines apply to members of the Professional Research (Research Scientist) Series who are in good standing (see note at end of this document) at the University.

Purpose of Scripps Bridge Funding

When a Scripps Researcher anticipates a loss of funding that would result in a salary shortfall, Scripps may provide a period of bridge funding so that the appointee maintains a consistent percentage level of appointment. The purpose of Scripps bridge funding is to provide the appointee with time in which to attempt to restore his or her extramural research salary support.

Amount and Duration

Subject to the availability of funds, salary support equivalent to 6 months at 100% will be available to Researchers who have not received bridge funding in the previous four years. For requests made at times less than four years from the last receipt of bridge funding, the amount available will be evaluated taking previous requests into account. Bridge funds may be used to support less than 100% salary. Bridge funding will not be provided for more than 12 months consecutively except under unusual circumstances.

Preliminary Efforts to Resolve Funding Shortfalls

It is the Scripps appointee’s responsibility to mitigate any deficits and to actively attempt to preserve funding resources. Whenever it appears that a funding shortfall could occur, the appointee should immediately consult with the Division Director, Section Head, and other section leaders as appropriate to assist the appointee in resolving any possible shortfalls.

Before bridge funding is provided, the appointee should:

- Pursue any opportunities for funding identified by the Division Director, Management Services Officer, and Section Head;
- Use all discretionary funds, start-up funds and “banked” funds;
- Demonstrate active pursuit of extramural and/or other sources of funding for future salary support;
- Disclose funding sources and describe all savings/downsizing that have been implemented for the research group of the person seeking funding.

The appointee, Division Director, and Section Head are expected to participate meaningfully in this process, and the appointee must demonstrate a proactive role in attempting to restore his or her funding.
Request to Bridge Funding Committee

When all preliminary efforts have failed to provide the needed salary support, the Division Director should submit a request for bridge funding to the Bridge Funding Committee, which is composed of the Scripps Deputy Director for Research, the three Section Heads (Biology Section, Earth Section, and Oceans & Atmosphere Section) and the Department Chair. The request should include:

- The name of the appointee and number of years of service as a Researcher;
- A description of what has been already done to resolve the funding shortfall, including evidence that the appointee has actively sought extramural support and that all present and future funding options have been pursued and that expenses have been reduced to the extent possible;
- Evidence that restoration of funding is possible during the bridge funding period;
- The amount and duration of funding necessary to restore salary.

Bridge Funding Committee Consideration

The Committee, in consultation with the Scripps Director, will determine, on a case-by-case basis, the appropriate bridge funding, and notify the Division Director. The corresponding section and division will administer the funds in conjunction with the VCMS Business Office in order to track payment for the duration of the bridge funding period.

Implementation of Bridge Funding

a. Bridge Funding

The Division Director should meet with the appointee and inform him or her of the amount and length of Scripps bridge funding.

b. Expectation of Service

Bridge funding is supplied out of Scripps Institution of Oceanography institutional funds, which are used to support service activities. As a result, there is an expectation that those receiving bridge funding support should provide some service appropriate to the amount of funding. The Bridge Funding Committee will consult as needed to determine the service opportunities that are available and appropriate given the expertise of the individual assigned bridge support.

Conclusion of Bridge Funding

a. Full Salary Support
Bridge funding automatically ends when the appointee is able to support his or her salary, even if this occurs sooner than anticipated by the appointee or division.

If the appointee is successful in generating the required salary support by the end of the bridge funding period, any previously approved layoff or reduction in time will be withdrawn.

b. Reduced or No Salary Support and Layoff

If the appointee is unable to generate sufficient salary support, the appointee may voluntarily reduce his or her time in lieu of layoff. Reduction in time can include zero percent; zero percent time can be maintained for up to one year, after which a layoff proposal should occur.

In the event regular funding does not materialize, the division may seek advanced approval to lay off or involuntarily reduce the percent time of the appointee at the conclusion of the bridge funding period. If the appointee is successful in obtaining funding, such a proposal may be withdrawn.

The layoff proposal should be completed in accordance with established policies. Layoff proposals submitted at the beginning of the bridge funding period should discuss the preliminary efforts taken by the division and the appointee to resolve the budget shortfall, the period of bridge funding provided, and the requested effective layoff date (which should correspond with the date bridge funding ends). If the layoff proposal is approved, the Division Director will provide the appointee written notice of layoff in accordance with PPM 230-7.

If the division obtained advance approval and the appointee received notice of layoff, the appointment will end on the previously established notice date.

If the department has not obtained layoff approval, the division should initiate a layoff or reduction in time proposal, or the appointee may voluntarily reduce his or her time.

c. Conversion from Indefinite End Date Appointment to Term Appointment

In cases in which there is evidence that long-term funding is not expected to continue, the division may wish to consider converting an appointment with an indefinite end date to a term appointment (with an end date) by way of a recommendation in the next academic review.
Restrictions

Bridge funding is not required where the appointee acted recklessly, did not mitigate deficits, or by his or her own actions lost funding.

Bridge funding is not intended to provide summer salary for academic year (9-month) Researchers.

The minimum criteria required for good standing are as follows:
1. Advancement in rank or step in last academic review (or equivalent satisfactory review), including fulfillment of University service commensurate with rank and step;
2. Maintenance of the participant's position as a leader in a chosen field of research;
3. Maintenance of good standing for all research contracts and grants (e.g., no outstanding agency reports or accounts in deficit).
Policy Regarding Institutional Support for Researchers
Appendix A
Samples: Calculating Institutional Support

\[ S = F^* (R^*C - B) \]

**C**: level of compensation including bonuses or off scale salary

**R**: percentage of time for appointment as Researcher and/or Lecturer. (R will be between 0.0 and 1.0; it might be less than 1.0 because of a voluntary reduction in time, or because the Researcher also holds an appointment with another title. For example, a Researcher who also holds a 50% appointment as Academic Administrator would have R=0.5; a Researcher receiving 20% salary as Lecturer in order to teach would still have R=1.0 during the period of the Lecturer appointment.)

\[ S = \text{SIO Institutional Support} \]

**B**: Bridge funding

**F**: Funding factor

**Example 1:**
Institutional support provided to a 100% time full Researcher with a salary of $90k would be:
\[ S = F^* (R^*C) \]
\[ S = 0.5 \times (1 \times 90k) \]
\[ S = 45k \text{ (i.e., 50% time or 6 months)} \]

**Example 2:**
Institutional support provided to a 100% time full Researcher with a salary of $90k receiving 20% salary as Lecturer in order to teach would be the same as in example 1 above:
\[ S = F^* (R^*C) \]
\[ S = 0.5 \times (1 \times 90k) \]
\[ S = 45k \text{ (i.e., 50% time or 6 months)} \]

**Example 3:**
Institutional support provided to a 100% Associate Researcher with a salary of $80K who is receiving $40K in bridge funds would be:
\[ S = F^* (R^*C - B) \]
\[ S = 0.25 \times (1 \times 80K - 40K) \]
\[ S = 10K \]

**Example 4:**
Institutional support provided to a 50% Academic Coordinator, 50% full Researcher with a salary of $90K would be:
\[ S = F^* (R^*C - B) \]
\[ S = 0.5 \times (0.5 \times 90K) \]
\[ S = 22,250 \]