

SUPPLEMENTAL RESEARCH COMPENSATION FOR EXTERNALLY SPONSORED WORK POLICY

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Supplemental compensation is payment received by the faculty member from external sponsors for efforts that require involvement during the faculty member's university contract, over and beyond the normal full-time duties specified in that faculty member's university contract. A university contract for full-time faculty employment, which may have an 8, 9, 10, or 11-month term, serves as the basis for considering and approving supplemental research compensation. The compensation rate is calculated from that faculty member's 8-month stipulated base found in their university contract.

A full-time assignment at Brigham Young University requires a commitment of 5 days per week. The specific assignments involving teaching, research, and university citizenship activities which comprise this 5 day week will vary among faculty members and disciplines, and are determined by agreement and negotiation between the individual and their departmental chair.

Supplemental compensation is available to faculty members involved in any of the different aspects (teaching, research, or citizenship) of their assignments when time and effort take them beyond their full-time contractual commitment as defined above. (Types of supplemental compensation available in addition to supplemental research compensation include: Evening School and Independent Study earnings; paid participation in Know Your Religion lectures, Education Days and Education Week, Youth Programs, Travel Study, and certain conferences and workshops. In addition, the university may pay faculty royalties for inventions, and for development of computer software and instructional materials. On occasion, payment for consulting, which may be thought of as a supplemental activity, is made through the university as supplemental compensation.)

This particular policy concerns supplemental compensation for faculty from research provided by external sponsors. Separate and comparable policies exist in the university handbook which covers supplemental compensation for other types of activities.

Supplemental compensation for sponsored research is limited to an average of one day per week and must be accomplished in such fashion that the 5 day full-time appointment of the faculty is not compromised. Supplemental work can be done during the week, but it is expected that faculty members will compensate by devoting equivalent time to their primary assignments on weekends or in evenings.

Supplemental research compensation can result from a sponsor's need for grant or contract work that cannot be met by the faculty principal investigator within usual working hours. Added effort may be needed to meet sponsor timetables, to extend the scope of work for special purposes, to conduct field work which keeps the faculty member on assignment for extended periods of time, or to perform

other similar kinds of exceptional tasks. While as a general policy faculty members are encouraged to engage technicians, postdoctoral fellows, or student workers to accomplish added research efforts, there may be occasions which require the personal effort of the faculty member to perform essential and extended tasks of the sponsored project.

Care must be taken to ensure that these activities do not conflict with primary university commitments to teaching, scholarly work, and university service. This policy statement, which describes procedures that must be followed so that time spent on research leading to supplemental research compensation compliments rather than compromises other university responsibilities, applies to compensation received from all types of external grants and contracts.

A further constraint applies to federal grants and contracts in that the method and extent of such compensation must meet federal legal requirements and adhere to policies restricting supplemental compensation that are imposed by the government granting agencies.

Supplemental research compensation is provided for specific days (or time periods) dedicated to the extended activity. Participating faculty members are required to keep a log of the hours and days they are engaged in supplemental work for which they will request supplemental compensation. In general, time periods devoted to supplemental research should be kept separate from the time devoted to regular university activities. The policy is intended to apply to regular personnel (those with at least a 75 percent contract). It is not intended for part-time personnel.

LIMITATIONS

Because the regular faculty assignment involving teaching, scholarly work, and university service is a full-time commitment, all activities which involve extended time undertakings should be carefully considered and limited as necessary. The presumption is that whenever a faculty member spends, on the average, a cumulative total of more than one work day per week on supplemental research, consulting, and continuing education outreach activities, (Outreach programs in the Division of Continuing Education include the Know Your Religion lectures, Education Days and Education Week, Youth Programs, Travel Study, and Conferences and Workshops.) further engagement in such activities will detract from the primary commitment of the faculty member to the university. If such activities are done during the workweek (Monday - Friday), there is an expectation that the faculty member will make sure that assigned contractual academic responsibilities are not neglected, which means that he or she will probably need to devote equivalent time on weekends or in the evenings to compensate for the time taken from their academic stewardship.

Unless a special exemption is granted by the Associate Academic Vice President for Research and Graduate Studies, in consultation with the appropriate Chair and Dean, supplemental research compensation is possible only for semesters or terms during which the faculty member has university responsibilities in teaching and/or on university service for which they are under university contract. Thus, supplemental research compensation will usually not be authorized when the faculty member is free to devote full-time to a research sponsor, such as during a spring or summer when she or he could be paid entirely from an external research grant or contract.

APPROVAL

Supplemental research compensation will be allowed for any grant or contract only when the following conditions are met:

- A. An external research grant or contract is available for funding the supplemental work.
- B. Prior to the performance of the work, written approval for receiving supplemental research compensation is obtained from the department chair, dean, Office of Research and Creative Activities (ORCA), and the Associate Academic Vice President for Research & Graduate Studies. The form "Approval for Professional Activities in Addition to Regular University Assignment: A. Supplemental Research Compensation" will be used for this purpose. Criteria for approval are as follows:
 1. Approval by the Department Chair and Dean -- Before giving approval, the department chair should review the request in the context of the individual faculty member's current assignments. The signature of the department chair indicates that the department has determined that involvement of the faculty member is required to perform the work, and that such work would exceed the usual workload and would thus merit supplemental research compensation. At the same time, approval assures that the faculty member is not overcommitted to the point that primary or core university assignments in teaching, scholarly work, and university service are compromised. The dean of the college or school must likewise approve supplemental research compensation, again verifying that the faculty member has the time to do the work without compromising core assignments.
 2. Approval by the Office of Research and Creative Activities and the Associate Academic Vice President -- Approval for supplemental research compensation will be authorized and acknowledged only if one or more of the following conditions are met:
 - a. Approval and acceptance is obtained from the external sponsor in which the requirement for supplemental research compensation is clearly specified and included in the budget and scope of the work of the grant or contract. (Approval cannot be obtained from certain external granting agencies such as the National Science Foundation , which do not allow such payments.)
 - b. Written authorization is provided by the sponsor to allow the payment of supplemental research compensation from an existing grant or contract.
 - c. Where work is performed under a "Fixed Price Contract," requests for supplemental research compensation may be included in the original proposal or may be approved after the project commences, if appropriately justified. If funds are available within the current contract, external sponsor approval for the change is not usually required. Use of residual funds (at the end of the contract) for supplemental research compensation will not be approved.

LEVEL OF COMPENSATION

Compensation must not exceed the calculated daily rate of pay for the faculty member(s) in question and is calculated from the individual's stipulated 8 month base. The daily compensation rate is calculated by dividing the 8 month base pay by 1386 to get the hourly rate. (Faculty members do not account for their time via a "time clock" system and are not constrained to a 40 hour week. However, their hourly rate is obtained by assuming that the faculty 8 month contract is based on 34.65 weeks at 40 hours per week.) Daily rates are then 8 times this figure. This calculation will be made by the Office of Research and Creative Activities (ORCA) using the official university payroll records.

PROCEDURES FOR OBTAINING PAYMENT

Payment for supplemental research compensation requires submission of proper payment authorization documents after notification that the form "Approval for Professional Activities in Addition to Regular University Assignment: A. Supplemental Research Compensation" has been completed and signed by all required parties prior to the start of the work. Payment must be requested after the work is done; for example, at the end of the month for the days during the month when supplemental research was actually performed. Approval may be given for days when the faculty member is away from the university, such as when traveling or on vacation or leave, only for documented and dedicated time periods when the faculty member is actually doing the supplemental work.

A request for approval of payment for supplemental research is limited to work accomplished within 90 days prior to the request. Prior approval for payment (future dates) will not be allowed. To receive compensation for work during the month or quarter, the faculty member submits a completed "Request for Supplemental Research Compensation" form. These forms are available from the Office of Research and Creative Activities (ORCA) and must be approved by that office's Director, who will ensure that sufficient funding is available in the research account.

REPORTS

The Office of Research and Creative Activities can provide to the dean of each college an annual report of the time worked and the total supplemental research compensation paid to each faculty member. Deans also receive a more comprehensive report of all supplemental compensation resulting from any type of overload activities. The faculty member should maintain a continuous and current record documenting the time spent on the supplemental research activity. The record must be available, if needed, for audits or other reviews. The entries must agree with the times for which compensation is requested.

SUMMARY OF PROCEDURES

The following is a summary of the steps that must be followed for a faculty member to receive supplemental research compensation:

- A. Research grants or contracts from an external sponsor must specifically allow and approve the payment of supplemental research compensation to the faculty member.

- B. The form "Approval for Professional Activities in Addition to Regular University Assignment: A. Supplemental Research Compensation" is completed and signed before the work is started. (Copies of this form are available from the Office of Research and Creative Activities.) The following associated approvals are required when completing this form:
1. Approval by the department chair and dean verifying that the faculty member has the time to do the extra work without compromising core activities. The chair and dean also confirm that the involvement of the faculty member is necessary to perform the work through supplemental research compensation.
 2. Approval by the Office of Research and Creative Activities (ORCA) and the Associate Academic Vice President for Research & Graduate Studies verifying that the supplemental research compensation requested can properly be charged to the applicable research grant or contract.
- C. The form "Request for Supplemental Research Compensation" is completed by the faculty member at the end of each month or other time period during which work was performed and compensation is requested. This form, which lists the actual days during the month for which supplemental research compensation is requested, is available from the Office of Research and Creative Activities (ORCA).
- D. Record of the work performed. The faculty member must keep a continuous and current record, which will be made available upon request for audit purposes, indicating the times spent on the supplemental research activity.