



## SUPPLEMENTAL COMPENSATION PROCEDURES

November 2011

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 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.

### APPROVAL

Supplemental research compensation will be allowed for any grant or contract only when **all** of 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 principal investigator, 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 for Research & Graduate Studies -- Approval for supplemental research compensation will be authorized and acknowledged only if **all** of the following conditions are met:
  - a. Approval and acceptance is obtained from the external sponsor where the requirement for supplemental research compensation is clearly specified and included in the budget and scope of the work of the grant or contract at the time of proposal, or written authorization is provided by the sponsor to allow the payment of supplemental research compensation from an existing grant or contract.
  - b. Approval of the activity funded by supplemental compensation is secured from the project principal investigator, and the faculty member's chair, dean, and the Associate Academic Vice President for Research & Graduate Studies before work begins.
  - c. The supplemental compensation is for work on another faculty member's sponsored project, and is "across departmental lines." In other words, the faculty member requesting supplemental compensation is neither principal investigator, co-principal investigator, co-investigator, or listed as a participant in the proposal on the grant/contract. Further, the faculty member's departmental affiliation may not be the same as the PI, co-PI, co-investigator or participant of the grant/contract.
  - d. The proposed work requires time beyond that of the faculty member's academic appointment. University academic contracts compensate faculty for teaching, research, and university service. There is an understanding and expectation that a faculty member works in these three areas within his/her department and on projects and classes in his/her field of expertise. Supplemental compensation is for work beyond that expectation, on projects of a university colleague in a different department.
  - e. There must be a record kept of time and date of the additional, supplemental work.
  - f. Work for supplemental compensation may not be done during a buy-out period on the same or any other sponsored research project.
  - g. Work for supplemental compensation may not be done or compensated for during a period outside of the faculty member's academic contract appointment.
  - h. There is a maximum of one (1) day per week that can be authorized for supplemental research compensation.

## **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 academic contract 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.

## **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, payment is requested 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.

Questions concerning this policy and procedure may be addressed to the Director of the Office of Research and Creative Activities (ORCA), A-285 ASB, (801) 422-6177, Gary Reynolds, gary\_reynolds@byu.edu.