

OPERATING POLICIES / PROCEDURES

DEPARTMENT: Research Institute Administration

POLICY NUMBER: RIA-06

REPLACES: _____

EFFECTIVE DATE: August 31, 2007

REVISION DATE: _____

POLICY TITLE: Faculty Effort Management

POLICY:

Faculty who receive some or all of their salary from federal grants must be paid an appropriate percentage of their salary from non-federal sources while writing new grant proposals or engaging in other academic activities, such as serving on committees or holding advisory meetings with non-grant-related graduate students. The Center Director and appropriate Division Chief will jointly review faculty activities and ensure that when a faculty is engaged in approved non-grant-related academic activities, the faculty member is paid from a non-federal source of funds. Any changes in faculty effort or funding requires approval of the UW academic department.

PROCEDURE:

- 06-1. Division Chiefs who have faculty in their units who receive *most of their salary from federal grants* should have regular meetings, quarterly at a minimum, with these faculty to discuss upcoming grant writing activities and proposed non-grant departmental or center activities. Through these meetings, the Division Chief will determine when non-federal funds need to be available to fund salary to cover non-grant-related activities.
- 06-2. Division Chiefs will work with the appropriate Center Director and their UW Academic Department Administrator to identify non-federal funds to support faculty effort associated with writing new grant proposals or supporting center assigned non-grant activity.
- 06-3. Center Directors will work through their respective Business Manager to establish an account to which salary for non-grant-related activity will be charged. The source of these funds shall be the Center's discretionary account.

- 06-4. It is important not only that the proportions of grant and non-grant funds used for salary be reviewed on a regular basis, but also that faculty inform their Division Chief, Center Director and UW Academic Department if their situations change.
- 06-5. Below are some examples of how a Division Chief and Center Director might manage different situations:

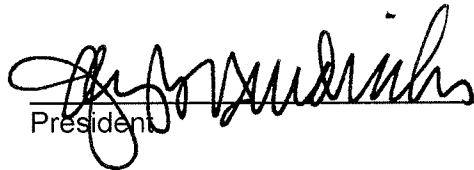
Professor Smith has a 1.0 FTE appointment with 100% of salary paid from grants. During a quarter of grant proposal writing, the Chief and Professor Smith might agree that 5% is the appropriate amount of salary to come from non-federal sources. The Division Chief contacts the Center Director, who reviews the proposed non-grant activity, and allocates 5% of discretionary funds to cover Professor Smith's salary for that quarter. This proposed change is communicated to and approved in advance by the UW Academic Department Administrator.

Professor Johnson has a 1.0 FTE appointment with 80% of salary provided from grants and 20% from other sources. If the terms under which the 20% from other sources allow for non-project activities, then no action is required, provided non-grant-related activities do not exceed 20% effort. Otherwise the division or center in coordination with the Academic Department Administrator would provide the appropriate funds for those activities.

- 06-6. Any disagreement between the Division Chief and Center Director and/or Academic department related to responsibility for funding non-grant-related activities will be adjudicated by the Chief Academic Officer, whose decision shall be final.

Submitting Office: Research Institute Administration

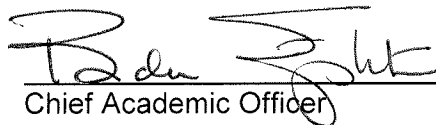
Approved by:



President

10/23/07

Date



Chief Academic Officer

10/23/07

Date