

*This guidance applies to SPECTRA users and the manual SEAS supplemental salary request process.*

**Faculty members may make one request per fiscal year; the total number of salary months is fixed thereafter.**

Faculty submit a request once per year, in May, for 1, 2 or 3 months of supplemental salary to be paid over the next fiscal year. This allows faculty to charge up to 25% of a ninth of supplemental salary in every month. The request includes supplemental salary from sponsored grants and Dean's ninths. Payments are spread evenly across July through June of the next fiscal year. While the number of months of supplemental salary once declared is fixed for the fiscal year, the faculty member, with help from the department administrator and/or grants manager, may request changes during the year to the allocation of payments to grants. Such changes should be made prospectively rather than retrospectively (i.e., should not require journals or retro payroll). If this is just an allocation change, it would not need a retro payroll request – it might need a journal transfer between funds. Once the annual request period has passed, changes to the number of supplemental months requested may only be made in certain circumstances and requires the approval of FAS Finance.

**An increase in the number of supplemental salary months requested *due to new funding* may be made without requesting an exception.**

When a faculty member receives a new award with planned supplemental salary starting before the next fiscal year, s/he may immediately increase the number of supplemental months requested to reflect anticipated effort on the new award. The increase may be redistributed across sponsored awards and Dean's ninths without requesting an exception. A new award is defined as a new fund, activity or subactivity in the costing string, and/or additional funding that was not previously obligated; changes must be made within 45 days of the relevant Action Memo.

**Changes *due to the circumstances outlined below* are considered exceptions and are subject to approval.**

Exception requests require approval of the Faculty Supplemental Salary Exception Form and appropriate documentation.

**a. An unanticipated increase in effort on an award**

Example: A faculty member is unable to hire research personnel to complete the scientific aims of the project and must therefore increase his/her own effort on the award to complete the work. Documentation should include identification of personnel included in the approved sponsor budget that were not hired or similar justification.

**b. Failure of another department to take action**

Example: A faculty member has grants at multiple schools within Harvard, and a grant admin at another school failed to communicate grant information in a timely manner. Documentation should include demonstration of departmental communication and timely follow-up on the issue.

**c. An unplanned shift in funding dictated by the sponsor**

Example: An award is unexpectedly terminated, continuation of funding is not approved, or a no-cost extension request is denied. Documentation should include demonstration of the sponsor's action/funding change.

**d. A change to previously requested number of supplemental months due to COVID-19 related re-budgeting (allowed only in FY21)**

Example: A Faculty member must re-budget the awarded funding in order to complete the scientific aims of the project while adhering to COVID-19 restrictions and regulations. To complete the work, the PI may need to re-budget his/her own effort on the project. Documentation supporting this change should include evidence and justification in the approved sponsor budget. Please note that a reduction in effort of 25% or more requires sponsor approval.

Departments should discuss requests for changes driven by any other circumstances with RAS before proceeding to request an exception.

**Exceptions driven by PI/administrator absence, staff inexperience or lack of administrative oversight/support will not be granted.**

**Instructions:** This form is required for all exception requests as outlined in the Faculty Supplemental Salary Process Guidance. Please answer all questions below and submit the form, along with appropriate supporting documentation, to Jacqueline Mordi at [jmordi@fas.harvard.edu](mailto:jmordi@fas.harvard.edu) for review. RAS will route all documents to FAS Finance for final approval. If sufficient information is not included, the request may be denied. Questions about this form and the exception request process should be directed to Jacqueline Mordi.

### **Section I.**

#### **General information**

Faculty member name:

Faculty member HUID:

Fiscal year:

Department/Unit:

### **Section II.**

#### **Supplemental salary information**

1. Are you requesting an increase in effort for an existing request?    YES    NO
2. How many months of supplemental salary are included in the latest approved request?
3. How many months of supplemental salary are now being requested (in total)?
4. Please indicate the circumstance driving the requested change:
  - An unanticipated increase in effort on an award
  - Failure of another department to take action
  - An unplanned shift in funding dictated by the sponsor
  - A change to due to COVID-19 re-budgeting

Please provide a brief description:

### **Section III.**

#### **Effort Commitment**

Please enter the number of calendar months committed on all active awards, including all months to be taken as supplemental salary and all months being cost shared.

*Example: If requesting an increase in the total supplemental salary from 1 month to 3 months, with 1 additional month as cost share, the total should be 4 months.*

#### **Award information**

1. Is the balance on the award sufficient to cover faculty salary, fringe and associated indirect costs?  
YES    NO
2. What is the fund-activity-subactivity associated with this award?
3. What is the balance on the fund-activity-subactivity incurring additional or new supplemental salary costs?
4. What is the project period of the fund-activity-subactivity incurring additional or new supplemental salary costs?  
(format: mm/dd/yy-mm/dd/yy)
5. What is the budget period of the fund-activity-subactivity incurring additional or new supplemental salary costs?  
(format: mm/dd/yy-mm/dd/yy)