

## 3550 GD.01

### Postdoctoral Fellows: Sponsored Payments of Compensation, Augmentation of Stipends

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#### Guide Purpose

This document provides guidance intended to facilitate processing of approved sponsored payments of compensation or augmentation of stipends to Postdoctoral Fellows.

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#### Overview

At Yale, postdoctoral appointment classifications are determined based on the individual's funding support. There are two categories of appointees: Postdoctoral Fellows and Postdoctoral Associates. The difference arises from the requirements of the funding source. Appointees funded from Yale-administered research grants, contracts, or other University sources in order to provide services related to supported research are classified as Postdoctoral Associates; they are employees of the University even though they are considered trainees. Postdoctoral Fellows are also trainees, but they are not Yale employees. They may be funded either from training grants to the University or from funding awarded to the trainee from an outside source.

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#### Compensation for Services

Postdoctoral appointees supported and receiving Stipends from federally funded fellowships such as, the National Institutes of Health (NIH) National Research Service Award (NSRA) are permitted to **teach** with appropriate **written** approvals from both the University and sponsor (for additional information, please review the Provost's memo dated October 24, 2008 click [here](#).)

In addition, federal sponsors such as the NIH recognize that **Postdoctoral Fellows** may seek part-time employment incidental to their training program to offset expenses. Funds characterized as compensation may be paid to fellows from federal awards only when there is an employer-employee relationship and the payments are for services rendered. Under these conditions, the funds provided as compensation (salary, fringe benefits) for services rendered, such as teaching or laboratory assistance, are not to be considered stipend supplementation; they are allowable charges to federal awards, including NIH research grants.

However, it is expected that:

- Compensation from research grants will be for limited part-time employment apart from the normal training activities.
- Compensation may not be paid from a research grant (unless specifically approved by the sponsor) that supports the same research that is part of the fellow's planned training experience as approved for example, in an NRSA fellowship application.
- Under no circumstances may the compensated services interfere with, detract from, or prolong the fellow's approved training program. Fellowship sponsors such as the NIH must approve all instances of employment on research grants to verify that the circumstances will not detract from or prolong the approved training program.

- An effort report must be completed documenting the effort for which the compensation was received.

**Illustration 1.1 – Postdoctoral Fellow Compensation for Services (Incidental Part-Time Employment)**

When the Fellowship appointment is supported by...	And the department wants to pay incidental part-time employment (compensation) from...	The compensation (for teaching and/or laboratory assistance)...	Fellowship sponsor approval is required <i>*prior</i> to paying compensation when...	In the Labor Distribution Module...
Federal funds	Federal funds	<ul style="list-style-type: none"> <li>▪ May not be paid from a research grant that supports the same research that is part of the fellow's planned training experience as approved in the fellowship application.</li> <li>▪ Must be for **services rendered indicating an <i>obligation</i> from the fellow to Yale/establishment of an employee/employer relationship.</li> </ul>	<ul style="list-style-type: none"> <li>▪ The fellowship is supported by the NIH.</li> <li>▪ Indicated in the federal fellowship sponsor agency guidelines.</li> </ul>	An <i>element</i> level labor schedule for <b>PDF Compensation</b> must be established with the appropriate PTAO for the compensation.
Federal funds	Non-Federal Funds	<ul style="list-style-type: none"> <li>▪ May not be paid from a research grant that supports the same research that is part of the fellow's planned training experience as approved in the fellowship application (unless approved by the sponsor).</li> <li>▪ Must be for **services rendered indicating an <i>obligation</i> from the fellow to Yale/establishment of an employee/employer relationship.</li> </ul>	<ul style="list-style-type: none"> <li>▪ The fellowship is supported by the NIH.</li> <li>▪ Indicated in the federal fellowship sponsor agency guidelines.</li> </ul>	An <i>element</i> level labor schedule for <b>PDF Compensation</b> must be established with the appropriate PTAO for the compensation.
Non-Federal Funds	Federal funds	<ul style="list-style-type: none"> <li>▪ May not be paid from a research grant that supports the same research that is part of the fellow's planned training experience as approved in the fellowship application</li> <li>▪ Must be for **services rendered indicating an <i>obligation</i> from the fellow to Yale/establishment of an employee/employer relationship.</li> </ul>	Indicated in the non-federal fellowship sponsor agency guidelines.	An <i>element</i> level labor schedule for <b>PDF Compensation</b> must be established with the appropriate PTAO for the compensation.
Non-Federal Funds	Non-Federal Funds	<ul style="list-style-type: none"> <li>▪ Must be for **services rendered indicating an <i>obligation</i> from the fellow to Yale/establishment of an</li> </ul>	Indicated in the non-federal fellowship sponsor agency guidelines.	An <i>element</i> level labor schedule for <b>PDF Compensation</b> must be

When the Fellowship appointment is supported by...	And the department wants to pay incidental part-time employment (compensation) from...	The compensation (for teaching and/or laboratory assistance)...	Fellowship sponsor approval is required <i>*prior</i> to paying compensation when...	In the Labor Distribution Module...
		employee/employer relationship.		established with the appropriate PTAO for the compensation.

***\*In general, it is not appropriate to seek after-the-fact approval.***

***\*\*Services rendered are defined as laboratory and/or teaching assistance.***

**When the fellowship appointment is supported by NIH, the sponsor’s approval of compensation payments must be in writing.**

Payments for compensated services will be classified under the expenditure type 711950, Faculty Salary – Postdoctoral Associate.

Payment	Earnings element	Expenditure type
Fellowship	Post Doc Fellowship	812000
Compensation	PDF Compensation	711950

## Stipend Augmentation

If a Postdoctoral appointee receives a fellowship and the Stipend offered by the sponsor does not meet Yale’s minimum threshold, the Stipend can be augmented to meet that minimum threshold. The augmentation dollars may come from University sources or externally funded awards permitting such augmentation. As a reminder, supplementation of a Stipend from a federal research award is not permissible. Charging a federal research award can only be accomplished when there is an employer-employee relationship, the payment would be considered compensation, and commensurate level of effort is devoted.

### Illustration 2.1 – Postdoctoral Fellow – Fellowship Supplementation

When the Fellowship is supported by...	Source of supplementation must be...	And cannot...
Federal funds	From Non-Federal or University funds	Require any additional obligation from the fellow
Non-Federal funds	From Non-Federal or University funds	Require any additional obligation from the fellow

Payment	Earnings element	Expenditure type
Fellowship augmentation	Post Doc Fellowship	812000

## Related Resources

Document	Location
NIH Grants Policy Statement	<a href="http://grants.nih.gov/grants/policy/policy.htm">http://grants.nih.gov/grants/policy/policy.htm</a>
Office of Research Administration Newsletter Vol.4 No. 2	<a href="http://www.yale.edu/researchadministration/resources/docs/ORANewsletterSepOct2009.pdf">http://www.yale.edu/researchadministration/resources/docs/ORANewsletterSepOct2009.pdf</a>
University policy for Postdoctoral Appointees	<a href="http://www.yale.edu/postdocs/documents/postdocpolicy.pdf">http://www.yale.edu/postdocs/documents/postdocpolicy.pdf</a>

## Contacts

Department	Contact Information
Postdoctoral Affairs – Central Campus	Ph: (203) 432-9075 Fax: (203) 432-6182 URL: <a href="http://www.yale.edu/postdocs/administrators_central.html">http://www.yale.edu/postdocs/administrators_central.html</a>
Postdoctoral Affairs – Medical Campus	Ph: (203) 785-7528 Fax: (203) 785-3734 URL: <a href="http://www.yale.edu/postdocs/administrators_ym.html">http://www.yale.edu/postdocs/administrators_ym.html</a>
Office of Grant and Contract Financial Administration	Ph: (203) 785-3630 Fax: (203) 737-5837 URL: <a href="http://www.yale.edu/grants/contacts/pdf/GCFARoster.pdf">http://www.yale.edu/grants/contacts/pdf/GCFARoster.pdf</a>
YSM Finance – Human Resources	Ph: (203) 785-5200 Fax: (203) 785-2400 URL: <a href="http://medicine.yale.edu/finance/hr/index.aspx">http://medicine.yale.edu/finance/hr/index.aspx</a>

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