

Perelman School of Medicine at the University of Pennsylvania  
Policy & Procedure Manual  
Faculty Appointed in the Research Track (FA-FacComp-002)

**Administrative Guidelines for Loss of Extramural Funding of Research Track Faculty**

ADMINISTRATION

Addendum to Policy Number: FA-FacComp-002

Date: 9/6/2016

**Guidelines:**

Gaps in extramural funding of a research track faculty member's salary or laboratory should be identified well in advance of the event and discussed with the faculty member. In those cases where EVP/Dean's funds must be used to support a research faculty member for any significant portion of their salary, lab, or for a significant period of time, a plan should be developed and the following alternatives should be considered:

- 1) Reduce the faculty member's salary to the greater of 1) the amount of funding available based on effort, or 2) the minimum for the rank. The annual decrease in salary cannot exceed more than 20% of the total base salary and cannot result in a salary that is below the minimum for the faculty member's rank. If EVP/Dean's funds must still be used to fund the salary or lab due to a lack of research funding, the department should initiate termination.
- 2) If eligible, faculty member applies for a leave of absence.\* Review and approval by the Dean and the Provost are required for all leaves of absences. If no additional external research funding has been identified during this leave, the faculty member should be terminated.
- 3) Explore transition to a staff position if appropriate and desired. Human Resources must be consulted. This action requires the identification of funding for the individual's salary from grants on which the person will work under a faculty member's supervision. These positions are contingent on grant funding.

The chosen alternative must be documented in writing\*\*, communicated to the faculty member, and the letter and other appropriate documentation must be submitted to the Offices of Faculty Affairs and Decision Support and Analysis.

During the annual increase process, for research faculty who lack sufficient funding and whose salaries will fall below (or are already below) the minimum of their respective rank, no increase should be given. However, one of the three alternatives listed above must be put in place.

SUPERSEDES: N/A	ISSUED BY: <hr/> Vice Dean, School of Medicine <span style="float: right;">Date</span>
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\* Leaves of absence are outlined in the Faculty Handbook,(Policy No. II.E.2), .  
[http://provost.upenn.edu/uploads/media\\_items/ii-e-2-faculty-leaves-of-absence.original.pdf](http://provost.upenn.edu/uploads/media_items/ii-e-2-faculty-leaves-of-absence.original.pdf) or  
<http://www.med.upenn.edu/fapd/sabbaticals-and-leaves.html>

\*\* The department must issue a letter that 1) states the expectations for funding, 2) the consequences and plan due to the lack of funding, and 2) imposes an end date for the faculty member's appointment that is no greater than three months from the date of the letter (but may be sooner).

**Contacts:**

**Executive Director of Faculty Affairs and Professional Development (Leaves, Appointments, Terminations)**  
215-898-6923

**Director of Decision Support and Analysis (Salary related questions)**  
215-898-1969

**Executive Director, School Administration (Transitions to Staff)**  
215-898-3607

**Vice Dean for Facilities and Operations**  
215-898-3655

SUPERSEDES: N/A	ISSUED BY: <hr/> Vice Dean, School of Medicine <span style="float: right;">Date</span>
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