I'm pleased to forward for your information our University policy on stipend supplementation, as it relates to predoctoral and postdoctoral training. The policy statement has been discussed with the Council of Presidents and received its endorsement.

Should you have any further comments on the policy, please feel free to forward your comments to the University Office of Personnel and Employee Relations.

Ernest F. Boyer

Attachment

This memorandum addressed to
Presidents, State-operated Campuses

Copies for information only sent to
Presidents, Community Colleges
Chancellor Kibbee
Dean McGrath
POLICY ON STIPEND SUPPLEMENTATION

SCOPE: This policy is to apply University-wide to all fellowships and traineeships. It sets forth the circumstances under which stipend supplementation may occur and deals with the levels established by sponsor regulations.

DEFINITION: Supplementation refers to the provision of funds by a grantee (the University) to a trainee or fellow in addition to the grant-supported stipend he is receiving from training grants or fellowship awards.

APPLICABILITY: This policy covers all persons receiving traineeship or fellowship stipends within the University.

POLICY: Stipends for traineeships and fellowships may be supplemented as necessary from University resources. However, no supplementation may be provided from sponsored program funds unless authorized under the sponsor regulations applicable to each of the specific programs, and subject to such restrictions as they may impose. If authorization is not explicitly provided under the appropriate conditions, written approval from the sponsoring agency should be obtained.

(Please see Appendix A.)

I. Supplementation of stipends for full-time trainees or fellows may be provided for many reasons, some of which are as follows:

1. Offsetting increases in cost-of-living expenses and variations due to regional costs.
2. Increasing stipends of trainees with more than 3 years but less than 7 years relevant post-doctoral training.
3. Cases of special need or financial hardship.
4. Performance of service. (For appropriately approved work activity in addition to "regular non-salaried" requirements imposed on all fellowship and/or traineeship stipend recipients.)

(Additions to this section may be made by submitting suggested amendments in writing to the University Office of Personnel and Employee Relations.)

(Please see Appendix B.)

II. No supplementation of stipends is permitted under the following conditions:

1. For the purposes of recruitment.
2. Where institutional requirements for services to be performed in connection with the supplementation would significantly prolong the completion of training.
3. Where supplementation would constitute duplication of benefits. (e.g. When supplementation is given for consultation services that are included in the trainee's normal workload.)

Questionable situations should be reported to the University Office of Personnel and Employee Relations and an explicit ruling obtained.

(PLEASE SEE APPENDIX C.)

III. If, for certain traineeships or fellowships, specific stipend supplementation policies, stated on the award document, are more restrictive than the policy of State University of New York, then the sponsor policy will take precedence.

IV. Reporting Requirements:

1. Supplementation of stipends should be separately identified and records maintained, to be made available to Federal auditors if requested.

2. Incidental income received from royalties, honoraria, fees for scholarly writing, delivery of occasional outside lectures, and service in advisory capacity to public or private non-profit organizations need not be reported under this section.

(PLEASE SEE APPENDIX D.)
The definition of "Institutional Funds or Resources" differs from one sponsor to another. Below are a few of these definitions:

**NSF:**
"Funds that the institution has obtained from external (including Federal) sources may be considered as institutional funds for the purposes of these (supplementation) rules."

**SOURCE:** NSF Memorandum to the Press dated 3/8/70

**PHS:**
"No supplementation may be provided from Federal funds unless explicitly authorized under the terms of specific programs, and subject to such restrictions as those programs may impose."

**SOURCE:** DHEW-NIH Memorandum from Dr. John F. Sherman dated 6/14/68.

**PHS-GRGG:**
"General Research Support Grant funds cannot be used to supplement stipends provided by other Federal funds."

**SOURCE:** General Research Support Grant - General Policy and Information Statement dated 8/68

**PHS-BSSG:**
"Biomedical Sciences Support Grant funds cannot be used to supplement stipends provided by other Federal grants."

**SOURCE:** Biomedical Sciences Support Grant - General Policy and Information Statement dated 1/69
APPENDIX B

Below are the sources of information for the conditions in Section I;

1. DHEW-NIH memorandum from Dr. John F. Sherman dated 6/14/68.
2. NIH Policy Guide Number 1 dated 4/30/70.
3. DHEW-NIH memorandum from Dr. John F. Sherman dated 6/14/68.
4. DHEW-NIH memorandum from Dr. John F. Sherman dated 6/14/68.

There are also some questions that should be reviewed in connection with these conditions:

Concerning #2: Only NIH has this policy. Please see the NIH Policy Guide Number 1 dated 4/30/70 for the complete policy and its applications.

Concerning #4: Performance of service, in some programs, may not be a requirement for supplementation. (i.e., supplementation may be given for such services, but such supplementation may not be conditioned upon the performance of such work.) Please see the PHS Policy on supplementation of the predoctoral stipend level, page 15 in the Policy Statement.

Also, in some cases, supplementation may be given with sponsor approval to trainees for expenses of full-time field work carried on away from the traineeship institution. This is exclusively an NSF policy. For further reference see the Administrator's Guide for the 1971 NSF Graduate Traineeship Program, page 6.
APPENDIX C

Below are the sources of information in Section II:

2. DHEW-NIH memorandum from Dr. John F. Sherman dated 6/14/68.

Other questions to be considered in connection with these conditions:

Concerning #4: Various sponsor policies place ceilings on stipends or regulate the amount of supplementation. PHS allows supplementation up to $1,000 from other than Federal funds. NSF, on the other hand, allows up to $1,000 ($750 for tenure of 9 months) for trainees in their first year of graduate residence, and leaves supplementation for subsequent years to be determined by institutional policies.
APPENDIX D

For the complete policy on the disposition of professional fees earned by individuals receiving trainee stipends see the NIH Policy Guide Number 2 dated 6/19/70. Only NIH has adopted this policy.