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Memo
Operating Guidance

No. 90-6
April 12, 1990

VICE CHANCELLORS — BUSINESS AND FINANCE ADMINISTRATION*
CONTRACTS AND GRANTS OFFICERS
OFFICE OF THE PRESIDENT FUNCTIONAL MANAGERS

Subject: Salary Limitations in NSF Grants and NIH/ADAMHA Awards

Purpose and Applicability

The purpose of this memo is to relay current University policy and guidance to help campuses and Laboratories implement the salary rate caps in National Science Foundation grants, and grants and contracts from the National Institutes of Health and the Alcohol, Drug Abuse, and Mental Health Administration.

Scope

These rate caps present implementation problems for a number of different functional offices, including academic personnel, payroll, purchasing, accounting, and contracts and grants. This Memo addresses various issues and provides operating guidance for Contract and Grant Officers, Payroll Managers, Accounting Officers, PAR Coordinators, and Materiel Managers. The Associate Vice President -- Academic Affairs will also distribute this memo to Academic Vice Chancellors. The guidance in this memo was coordinated with the following Office of the President Offices: Research Administration, Corporate Accounting, University Payroll, Materiel Management, Information Systems and Computing, and Academic Personnel.

NSF Grants

Background: The 1988-89 NSF salary cap (as discussed in Contract and Grant Memos 89-7, 3/13/89; Supplement No. 1, 6/21/89; and Supplement No. 2, 7/12/89) was continued by Congress for federal fiscal year 1989-90. Consequently, NSF grants awarded after October 1, 1989, may not be charged salary costs in excess of an annual rate of $95,000 ($7,917 per month). See Enclosure 1. The rate cap does not apply to NSF contracts.

*Note: The addressees above represent the standard distribution of Contract and Grant Memos. Additional addressees, if any, may be added based on the subject of the Memo. See cc's.

Proposals: NSF continues to recommend that proposals be submitted showing salary amounts at regular rates of pay. Campus and Laboratory Contract and Grant offices should continue their current practice in this regard.

Awards: Regardless of the amount awarded, the University will be subject to audit disallowances if salary rates are charged to NSF grants that exceed, on an annualized basis, the $95,000 cap. Campus and Laboratory accounting offices should have procedures in place to ensure that salary rates charged to NSF grants do not exceed the cap.

Subawards: The NSF salary rate limitation must be incorporated in subawards for substantive work under NSF grants that are subject to the cap.

NIH and ADAMHA Grants and Contracts

Background: An Information Letter issued by this office on December 12, 1989, advised campuses and Laboratories that a rate cap was included in the Department of Health and Human Services Appropriation Bill approved November 27, 1989. The January 19, 1990, NIH Guide announced the implementation of a salary limitation on NIH/ADAMHA grants and contracts for federal fiscal year 1989-90. Consequently, NIH and ADAMHA grants and contracts (including supplements to existing awards) made after October 1, 1989, may not be charged salary rates in excess of an annual rate of $120,000 ($10,000 per month). See Enclosure 2.

Proposals: The NIH Guide notice recommended that proposals be submitted showing salary amounts at regular rates of pay. The notice went on to state that we may not "self-cap" in noncompeting applications and redistribute the difference to

other categories. Campuses and Laboratories still have the option of "self-capping" in new and renewal proposals. In any event, we strongly recommend making it clear in proposals what the employees' monthly base salaries are so that NIH/ADAMHA will not be in any doubt as to whether or not the cap applies.

Awards: NIH and ADAMHA will cut award amounts to stay within the cap. Awards should be reviewed carefully to make sure the agency did not cut too much. Regardless of the amount awarded, the University will still be subject to audit disallowances if salary rates are charged to NIH/ADAMHA grants and contracts that exceed, on an annualized basis, the $120,000 cap. Campus and Laboratory accounting offices should have procedures in place to ensure that salary rates charged to NIH/ADAMHA grants and contracts do not exceed the cap.

Subawards: The NIH/ADAMHA salary limitation must be incorporated in subawards for substantive work under NIH/ADAMHA grants and contracts that are subject to the cap.

Supplementation of Salaries

University policy on not supplementing the salaries of faculty subject to the caps remains in effect. However, faculty participating in health sciences compensation plans may continue to be paid their agreed-upon total compensation. See Enclosure 4.

Retirement Benefit Allowance

In a March 9, 1990, memo to Academic Vice Chancellors, Associate Vice President Moore relayed advice from NSF concerning charging retirement benefit allowances to NSF grants (see Enclosure 3). The NSF position is that the retirement benefit allowance should

be included in an employee's salary for purposes of computing the effect of the cap.

The NIH/ADAMHA salary cap applies to "the amount of direct salary of an individual" charged to the grant. Since the retirement benefit allowance is paid as salary and charged directly to the grant, the retirement benefit allowance is considered by NIH to be included in salary calculations for purposes of figuring the effect of the cap (per telephone conversation with Sonny Kreitman, NIH Grants Policy office, on April 4, 1990).

Accordingly, beginning with the summer of 1990, campus and Laboratory procedures for figuring the effect of both the NSF and NIH/ADAMHA caps on payments of summer salary to 9-month faculty should <u>include</u> the retirement benefit allowance as part of salary. Retirement benefit allowance payments are identified in payroll and financial records through object code 1400. The retirement benefit allowance for 1990 is 4.03% of base salary.

<u>Identifying and Adjusting Records of Employee Salaries that Exceed the Caps</u>

Under separate cover, Associate Vice President Moore will distribute to campus Academic Vice Chancellors a listing of their faculty who may be over or near the NIH/ADAMHA cap for the period October 1, 1989, through March 31, 1990. No corporate data are available for the Laboratories. This list will only provide a starting point for the purpose of identifying potential problems. It will include NIH/ADAMHA grants that began before October 1, 1989, and which consequently are not subject to the cap. Thus campuses will have to rely on their own resources to refine the list. Procedures must then be in place to initiate cost transfers for salary amounts already paid that exceed the cap, and to revise Personnel Action Forms to prevent future above-cap salary payments.

Corporate data for periods after April 1, 1990, may be obtained on request from Marit Marino, Office of the President Office of Information Systems and Computing. The cost of producing additional reports will be recharged to the requesting campus.

In addition to producing the lists for October through March, the Office of the President is considering a mechanism for producing edit reports within the base payroll system to flag apparent

violations of the caps. Until such a mechanism is in place, campuses will have to rely on their own resources to flag violations.

The San Francisco campus has already begun this process, and is distributing monthly listing to academic departments for action. Enclosure 5 is a copy of a March 27, 1990, memo distributed by the San Francisco campus accounting office to campus academic department managers and payroll support staff. This memo also provides instructions on how to account for the salary supplementation that the campus has opted to provide for faculty in the health sciences compensation plans who are over the caps. PLEASE NOTE: This enclosure is for illustrative purposes only and applies only to UCSF faculty within the health sciences compensation plans. Since local campus situations vary considerably, many of the UCSF procedures will not be transferable. The overall outline, however, should give you some idea of the kinds of things you may have to deal with in trying to identify and adjust the salary records of capped employees. If you have any questions about this enclosure, particularly with respect to the FOCEXEC programs that are at the back of the memo, please contact John Ungaretti at 415-476-5655.

Please note also that retroactive adjustments are not covered in Enclosure 5. The campus accounting office plans to issue follow-up instructions on handling retroactive adjustments.

An added complication that is not addressed in Enclosure 5 relates to the retirement benefit allowance. Since this allowance is to be included in salary for purposes of figuring the effect of the caps, base monthly salary rates will be at the NSF cap, for the summer of 1990, when the monthly salary rate is $7,610 ($7,917/1.0403). The retirement benefit allowance would then be added to the base salary, for a monthly total not exceeding $7,917. A similar adjustment would have to be made for any 9-month faculty member being paid from NIH/ADAMHA sources during the summer; for these employees the rate cap, excluding the retirement benefit allowance, is $9,613 ($10,000/1.0403). NOTE: This adjustment only applies during the summer months of 1990 and only to salary paid during the summer to 9-month appointees.

The process of identifying and adjusting above-cap salary charges, both prospectively and retroactively, is extremely complicated. It may be necessary to have several points of control for monitoring. Campuses and Laboratories should carefully consider which control points should be used to maximize both accuracy and efficiency. This will entail the coordination of many different people: departmental administrators, deans, academic personnel coordinators, payroll managers, PAR coordinators, extramural funds accounting supervisors, materiel managers, and so on. Which office takes the lead in this effort is, of course, a local option.

Documentation of Effort in the PAR System

PAR reports generated on the basis of salary amounts paid by NSF, NIH and ADAMHA awards will impute an incorrect amount of effort for employees subject to the caps. This is because in these instances the amount of effort devoted to the project is more than the corresponding amount of salary that was charged to that project. Campus and Laboratory PAR coordinators should make sure completed PAR reports reflect effort actually devoted to the project, based on the amount of salary that could have been charged to the award if the cap had not been in effect. Reviewing PAR reports may have to be done manually. Be careful, however, not to make change in PARs or in the PAR system before the caps are implemented in your local payroll and personnel systems.

A subcommittee of the Federal Systems Committee is examining the feasibility of replacing the current PAR system with a "Plan-Confirmation" system, as allowed under A-21 Section J.6. One of the potential benefits of such a system is that it would be based on planned effort and not on actual salary charges. Thus the PAR problem may be resolved by this new alternative.

Summary

The points in this memo may be grouped together under the headings of "things to do to correct past mistakes" and "things to do to ensure compliance in the future":

Correcting Past Mistakes

- Identify faculty who were paid from NSF grants and NIH/ADAMHA awards at rates exceeding the caps.
- Prepare cost transfers as needed.

Ensuring Future Compliance

- Identify faculty who have been appointed at rates exceeding the caps and adjust PAFs as needed.
- Institute procedures to ensure that future PAFs do not appoint people to NSF grants or NIH/ADAMHA awards at salary rates in excess of the appropriate rate of pay.
- Decide whether the campus will supplement the capped salaries of faculty in the health sciences compensation plans, and, if so, institute procedures to effect such supplementation.
- Decide what campus practice will be with respect to requesting full or capped salaries in proposals.
- Make sure the agency is made aware in proposals of monthly base salary rates so the cap will be applied correctly if and when the agency cuts back on an award.
- Review awards to make sure the agency did not cut an award more than it should have.
- Make sure subagreements incorporate the caps as necessary.
- Have systems in place so that salary charges to NSF grants and NIH/ADAMHA awards do not exceed the caps.
- Make sure PAR reports do not understate effort on a capped project.

- Make sure the retirement benefit allowance is included in salary for purposes of calculating the effect of the caps.
- Identify control points in your systems where errors can be caught.

Refer: Bill Sellers
(415) 642-1638
ATSS 8-582-1638

Subject Index: 02, 06, 07
Organization Index: U-115, F-375, F-711

Joseph A. Pastrone
University Controller

cc: David Mears
Don Alter
Wayne Ove
Ellen Switkes
Margo Dowen
Bob Tuffnell
Campus and Lab Accounting Officers
Federal Systems Committee
Internal Auditors

Enclosures:
1. Message on NSF Bulletin Board from Ann Messier, 1/19/90.
2. NIH Guide notice, 1/19/90.
3. Memo from AVP Moore to Acad. Vice Chancellors, 3/9/90.
4. Memo from AVP Moore to Acad. Vice Chancellors, 3/14/90.
5. Memo from UCSF Accounting Office to UCSF Academic Department Managers and Payroll Support Staff, 3/27/90.

From: mmessier@NSF.GOV
Subject: New Rate of Pay for Consultant and Salary Limitation
Date: Fri, 19 Jan 90 14:13:27 -0500
Sender: mmessier@note2.nsf.gov
Message-ID: <9001191413.aa07500@Note2.NSF.GOV>

Effective January 14, 1990, the rate of pay for consultants is $299 per day exclusive of expenses and indirect costs.

Also, NSF's FY90 appropriation language continues to limit the annual rate of pay for direct salaries under NSF grants to $95,000. This limitation on rate of pay also applies to those subawards for substantive work under an NSF grant.

The following schedule may be useful as guidance in establishing equivalent rates:

Annual :	$95,000
Monthly:	7,916.67
Daily :	365.36
Hourly :	45.67

Mary Ann Messier
DGC Policy Office-NSF
(mmessier@nsf or mmessier@note.nsf.gov)

E N D O F N O T E

"OTHER SUPPORT" IN PHS GRANT APPLICATIONS

P.T. 34; K.W. 1014002, 1014006

National Institutes of Health
Alcohol, Drug Abuse, and Mental Health Administration

The PHS 398 (Rev. 10/88) and PHS 2590 (Rev. 10/88) grant application forms include a section on OTHER SUPPORT, where applicants are expected to list all, including both Federal and non-Federal, active support and pending and planned requests for support of research and research-related activities by all key personnel listed for each application. This information is important to PHS review-award processes to help evaluate the compatibility of application requests with investigators' capabilities and responsibilities, and eliminate unwarranted duplication of support for investigators' efforts. Application instructions emphasize the requirement for complete, accurate, and reliable information. In signing the face page of the application the principal investigator/program director and the applicant institution official certify that the application information is accurate and complete.

Applicants are reminded of the necessity to provide the full and reliable information requested. As noted in the instructions, "Incomplete, inaccurate, or ambiguous information about OTHER SUPPORT could lead to delays in review of the application." Further, applicants should be cognizant that serious consequences could result if failure to provide complete and accurate information be construed as an attempt to mislead PHS agency advisory groups and staff in their review and award responsibilities.

"OTHER SUPPORT" IN NIH AND ADAMHA R&D CONTRACT PROPOSALS

P.T. 34; K.W. 1014002, 1014006

National Institutes of Health
Alcohol, Drug Abuse, and Mental Health Administration

Documentation required in National Institutes of Health and Alcohol, Drug Abuse, and Mental Health Administration uniform Request for Proposals include Standard Form 1411, Contract Pricing Proposal Cover Sheet, which instructs offerors to identify any contracts or subcontracts they have been awarded "for the same or similar items" within the past three years. Additionally, offerors are required to provide a Summary of Related Activities, identifying all active federal contracts, cooperative agreements, grants, and commercial agreements, and submitted proposals, including actual and proposed levels of effort for all key individuals in the proposal to NIH.

As with PHS grant applications, mentioned just above, offerors should be aware that serious consequences could result if their failure to provide complete and accurate information be construed as an attempt to mislead agency advisory groups and staff in their review and award responsibilities.

SALARY LIMITATION ON GRANTS AND CONTRACTS

P.T. 34; K.W. 1014006

National Institutes of Health
Alcohol, Drug Abuse, and Mental Health Administration

The purpose of this notice is to update the information on this subject published in the November 24, 1989 edition of the NIH GUIDE FOR GRANTS AND CONTRACTS (Vol. 18, No. 42).

Section 217 of the Appropriations Act of the Department of Health and Human Services for fiscal year (FY) 1990 (Public Law 101-166) restricts the amount of direct salary of an individual under a grant or contract award issued by the National Institutes of Health (NIH) and the Alcohol, Drug Abuse, and Mental Health Administration (ADAMHA) to a RATE of $120,000 per year. NIH and ADAMHA will apply the restriction to all grant and contract awards and to all funding amendments to existing grants and contracts made during FY 1990 and with FY 1990 funds. The salary limitation applies to amounts INCLUDED in grant and contract awards as well as amounts allowed to be CHARGED to those grants and contracts. It is important to note, however, that an individual's institutional salary, per se, is not constrained by this legislative provision.

NIH and ADAMHA grant and contract awards that indicate salaries of individuals in excess of a rate of $120,000 per year will include the following notification:

> The Appropriations Act prohibits reimbursement of direct salary for individuals at a rate greater that $120,000 a year as determined in the original award. Accordingly, this award has been reduced by (specific $ amount for direct salary above that rate plus fringe benefits and associated indirect costs). The language contained in the Appropriations Act follows:
>
> > "None of the funds appropriated in this title for the National Institutes of Health and the Alcohol, Drug Abuse and Mental Health Administration shall be used to pay the salary of an individual through a grant or other extramural mechanism at a rate in excess of $120,000 per year."

Grant applications and contract proposals submitted to NIH and ADAMHA should continue to request funding at the regular rates of pay of all individuals for whom reimbursement is requested. NIH and ADAMHA will make downward adjustments of direct salary amounts in excess of the ceiling rate and fringe benefits based upon the budget approved as part of the original award. Corresponding indirect costs will also be adjusted. Following is an EXAMPLE of this process:

Individual's institutional salary per year	$150,000	
Research effort requested on grant application/ contract proposal		50%
Direct salary requested	$ 75,000	
Fringe benefits requested (25% of salary)	$ 18,750	
Applicant organization's indirect costs rate	47%	
Amount requested - salary plus fringe benefits plus associated indirect costs	$137,813	

If a grant/contract is to be awarded, the amount included in the award for the above individual will be calculated as follows:

Direct salary - restricted to RATE of $120,000 times research effort percentage	$ 60,000
Fringe benefits (25% of allowable salary)	15,000
Subtotal	$ 75,000
Associated indirect costs at 47% of subtotal	35,250
Total amount included due to salary limitation	$110,250
Amount of reduction due to salary limitation ($137,813 requested minus $110,250 awarded	$ 27,563

Other important points are:

- salary limitation provision does NOT apply to payments made to consultants under an NIH or ADAMHA grant or contract (however, as with all costs, such payments must continue to meet the test of reasonableness);
- salary limitation IS intended to apply to those subawards for substantive work under an NIH or ADAMHA grant or contract;
- unobligated funds from a prior grant/contract period "carried over" INTO a FY 1990 award period ARE subject to the salary limitation provisions; and
- in a noncompeting continuation application (type 5) setting, a grantee organization is NOT permitted to redistribute an amount of "excess" salary among other budget categories in an attempt to apply for the full level of funding as previously recommended by the peer review process.

C&G Memo 90-6
April 12, 1990
Enclosure 3

UNIVERSITY OF CALIFORNIA

BERKELEY • DAVIS • IRVINE • LOS ANGELES • RIVERSIDE • SAN DIEGO • SAN FRANCISCO SANTA BARBARA • SANTA CRUZ

DAVID PIERPONT GARDNER
President

WILLIAM R. FRAZER
Senior Vice President—
Academic Affairs

OFFICE OF THE PRESIDENT
BERKELEY, CALIFORNIA 94720

RECEIVED
MAR 12 1990
RESEARCH ADMINISTRATION

March 9, 1990

ACADEMIC VICE CHANCELLORS

Dear Colleagues:

RE: NSF Salary Cap and Summer Research Salary "Benefits Allowance"

As of December 1988, the University ceased employer contributions to faculty 403(b) plans on behalf of additional summer research compensation. To alleviate the loss of retirement planning on this portion of UC income, we created a benefits allowance listed as an additional component of compensation in extramural funding proposals and on University payroll forms.

The National Science Foundation has now informed us that the benefits allowance amount for an individual will be included toward the salary cap imposed on NSF grants for Federal Fiscal Year 1988-89 which has been continued for Federal Fiscal Year 1989-90. All future proposals to NSF should take account of this ruling.

Questions on this issue should be directed to Principal Analyst Nancy Capell at (415) 643-8354.

Sincerely,

Calvin C. Moore
Associate Vice President
Academic Affairs

cc: Senior Vice President Frazer
Vice President Baker
Chancellors
Director Mears
Director Switkes
Contracts and Grants Officer Sellers
Principal Analyst Capell

Letter from NSF enclosed.

NATIONAL SCIENCE FOUNDATION
WASHINGTON, D.C. 20550

DEC 20 1989

RECEIVED
JAN 18 1990/WS
RESEARCH ADMINISTRATION

Division of Grants
and Contracts

Mr. William Sellers
Contract and Grant Officer
University of California
300 Lakeside Drive
Oakland, California 94612-3550

Dear Mr. Sellers:

This is in response to your letter addressed to Joanna Rom concerning the apparent hardship caused by the Foundation in subjecting to the salary cap the retirement benefit allowance for a 9-month faculty member. The retirement benefit allowance appears on the grant proposal budget as salary for the two summer months that the faculty member will be working on the grant-supported project. Your letter states that the retirement benefit allowance will be reported as additional income on the employee's W-2 form on which the employee is responsible to pay applicable income taxes.

It appears from the facts cited in your letter that the retirement benefit allowance is properly treated on the award budget as salary and, as such, it is subject to the salary cap.

Sincerely yours,

/S/

Richard E. Hastings
Chief, Award Management
and Oversight Branch

COPY

C&G Memo 90-6
April 12, 1990
Enclosure 4

UNIVERSITY OF CALIFORNIA

BERKELEY • DAVIS • IRVINE • LOS ANGELES • RIVERSIDE • SAN DIEGO • SAN FRANCISCO

SANTA BARBARA • SANTA CRUZ

RECEIVED
MAR 20 1990
RESEARCH ADMINISTRATION

DAVID PIERPONT GARDNER
President

WILLIAM R. FRAZER
Senior Vice President—
Academic Affairs

OFFICE OF THE PRESIDENT
BERKELEY, CALIFORNIA 94720

March 14, 1990

ACADEMIC VICE CHANCELLORS

Dear Colleagues:

RE: National Science Foundation, and National Institutes of Health/Alcohol, Drug Abuse and Mental Health Administration Limitation on Reimbursement of Salaries Under Grants, Federal Fiscal Year 1990

As you know, Congress has followed the precedent it set for the National Science Foundation last year and has instituted an NIH/ADAMHA salary "cap" of $120,000, retroactive to October 1, 1989. Scientists participating in Federal Fiscal Year 1990 NIH or ADAMHA-funded research can earn no more than $120,000/year for full-time effort, prorated to their actual percentage of effort.

Last year, when the NSF limit was announced, we took the position that such limits could not be supplemented by other institutional funds if the participating scientists' UC salaries/compensation were actually greater than the cap amount. We were disappointed that Congress renewed the NSF salary cap this year and imposed a similar cap for NIH-supported salaries.

The policy of not permitting supplementation will remain in place for those faculty on regular fiscal year and academic year appointments, both with regard to the NIH/ADAMHA salary cap and the NSF salary cap, with the following exception. Departments are permitted to pay the agreed-upon total compensation to faculty who are members of the University's health sciences compensation plans. Only unrestricted non-State funds available to the compensation plan may be used to make up the difference between total compensation and the Federal reimbursement for faculty effort. Further details on implementing these caps with respect to Federal contracts and grants will be forthcoming from the Offices of Research Administration and Corporate Accounting, Office of the President.

Questions about the NSF and NIH/ADAMHA cap and allowable supplementation should be directed to Director Ellen Switkes at (415) 643-6512.

We will continue to work with the Washington office and with higher education organizations to convince our legislators that such caps are counterproductive to the expressed intent of furthering U.S. research and technological development.

Sincerely,

Cal

Calvin C. Moore
Associate Vice President
Academic Affairs

Attachments:
January 19, 1990 NIH Guide for Contracts and Grants

cc: President Gardner
Chancellors
Senior Vice President Frazer
Senior Vice President Brady
Vice President Hopper
Vice President Farrell
Associate Vice President Hershman
Special Assistant Shaw
Director Switkes
Director Sweet
Director Mears
Coordinator Dowen
Principal Analyst Capell

UCSF ACCOUNTING
Payroll Division and
Division of Extramural Funds and Financial Systems

March 27, 1990 **REVISED**

TO: UCSF ACADEMIC DEPARTMENT MANAGERS AND PAYROLL SUPPORT STAFF

SUBJ: SALARY RATE CAP OF $10,000 MONTHLY ON NIH GRANTS

As you are probably aware, the Congress has passed and NIH has instituted a salary rate cap similar to that in effect for NSF investigators. For all awards dated October 1, 1989, or after, no faculty member on the grant can be paid at a salary rate more than $10,000 per month ($120,000 per year). Until October 1, 1990, awards will cycle under the cap when a new award letter is issued. By next October, *all* NIH awards will be covered by the cap. This cap does not apply to total dollars spent, but to the rate at which an investigator is paid -- so even investigators whose effort is five percent will have their monthly pay rate capped at $10,000 per month on their NIH funds. The department will have the option of lowering the faculty member's salary to conform to the cap or supplementing the salary to its original negotiated rate by using departmental *unrestricted* funds (*not* any federal state or local government funds including 19900). The purpose of this memo is to instruct the administrative staff of academic departments on the procedures for implementing the cap.

If the faculty member paid on an affected NIH grant earns more than $10,000 per month, the PAF must reflect multiple pay rates: the negotiated monthly rate for non-NIH funds, $10,000 monthly rate for NIH funds, and a dollar amount representing a "by agreement" BYA or BYC line. The dollar amount on the BYA/BYC line will be the dollars per month not funded by NIH due to the cap.

STEPS IN FILING A REVISED PAF:

1) Identify all NIH distribution lines affected by the cap (remember that during this first year, the cap only applies as new fund years begin starting October 1 and thereafter).

2) Reduce the monthly rate paid on the NIH fund to $10,000.

3) a) Establish a new distribution line with a description of service of "BYC" for the monthly dollar difference in "HSC" pay and/or

   b) Establish a new distribution line with a description of service of "BYA" for the monthly dollar difference in "REG" pay.

c) A "BYC" and/or "BYA" line will be required for each new source of departmental funds used to bring the faculty member's salary up to the negotiated rate.

4) Prepare Payroll Expenditure Transfer Form UPAY 646-2 for all retroactive adjustments.

5) Process the PAF through normal approval channels.

Along with this memo, we are sending a copy of the exact wording on the cap from the NIH Guide, examples of a revised PAF showing how changes should be made for faculty exceeding the cap, and a report issued off the current payroll system that shows the distribution lines of those faculty members whose salaries are currently affected by the cap. Please process a revised PAF retroactive to October 1 or the date of the most recent award (whichever is later) to reflect adherence to the cap. On the attached reports, the far right column labeled "BEG MTH" prints the starting month of the fund as it appears in the ledger. Funds with a beginning month of October through March will need to be adjusted retroactive to their beginning month. A distribution line with a beginning month between April and September indicates that the fund will not be covered by the cap until the beginning of that month. Distributions beginning April or after should be adjusted on the PAF as soon as is practical to avoid the need for retroactive adjustments later. *(**Special Note:** Some awards were made with a date in late September, 1989. These show on our systems as October start dates, but will not officially be covered by the cap until next September. Please notify payroll if you notice such an award, and we will adjust the report to note its start date in September for future reports.)*

If you have questions about the implementation of the cap, call Phil Ruttenberg at 6-0730 (e-mail PHIL). If you have more general questions about the NIH and NSF policies relating to caps, call John Ungaretti at 6-5655 (e-mail JU).

Phil Ruttenberg
Manager
Payroll

John R. Ungaretti
Manager
Extramural Funds and Financial Systems

cc: Diane Dillon
Nancy Catena
Nancy Nienhuis
Susan O'Hara
Anne Cardy

SALARY LIMITATION ON GRANTS AND CONTRACTS

P.T. 34; K.W. 1014006

National Institutes of Health
Alcohol, Drug Abuse, and Mental Health Administration

The purpose of this notice is to update the information on this subject published in the November 24, 1989 edition of the NIH GUIDE FOR GRANTS AND CONTRACTS (Vol. 18, No. 42).

Section 217 of the Appropriations Act of the Department of Health and Human Services for fiscal year (FY) 1990 (Public Law 101-166) restricts the amount of direct salary of an individual under a grant or contract award issued by the National Institutes of Health (NIH) and the Alcohol, Drug Abuse, and Mental Health Administration (ADAMHA) to a RATE of $120,000 per year. NIH and ADAMHA will apply the restriction to all grant and contract awards and to all funding amendments to existing grants and contracts made during FY 1990 and with FY 1990 funds. The salary limitation applies to amounts INCLUDED in grant and contract awards as well as amounts allowed to be CHARGED to those grants and contracts. It is important to note, however, that an individual's institutional salary, per se, is not constrained by this legislative provision.

NIH and ADAMHA grant and contract awards that indicate salaries of individuals in excess of a rate of $120,000 per year will include the following notification:

> The Appropriations Act prohibits reimbursement of direct salary for individuals at a rate greater that $120,000 a year as determined in the original award. Accordingly, this award has been reduced by (specific $ amount for direct salary above that rate plus fringe benefits and associated indirect costs). The language contained in the Appropriations Act follows:
>
> > "None of the funds appropriated in this title for the National Institutes of Health and the Alcohol, Drug Abuse and Mental Health Administration shall be used to pay the salary of an individual through a grant or other extramural mechanism at a rate in excess of $120,000 per year."

Grant applications and contract proposals submitted to NIH and ADAMHA should continue to request funding at the regular rates of pay of all individuals for whom reimbursement is requested. NIH and ADAMHA will make downward adjustments of direct salary amounts in excess of the ceiling rate and fringe benefits based upon the budget approved as part of the original award. Corresponding indirect costs will also be adjusted. Following is an EXAMPLE of this process:

Individual's institutional salary per year	$150,000	
Research effort requested on grant application/ contract proposal		50%
Direct salary requested	$ 75,000	
Fringe benefits requested (25% of salary)	$ 18,750	
Applicant organization's indirect costs rate	47%	
Amount requested - salary plus fringe benefits plus associated indirect costs	$137,813	

If a grant/contract is to be awarded, the amount included in the award for the above individual will be calculated as follows:

Direct salary - restricted to RATE of $120,000 times research effort percentage	$ 60,000
Fringe benefits (25% of allowable salary)	15,000
Subtotal	$ 75,000
Associated indirect costs at 47% of subtotal	35,250
Total amount included due to salary limitation	$110,250
Amount of reduction due to salary limitation ($137,813 requested minus $110,250 awarded	$ 27,563

Other important points are:

- salary limitation provision does NOT apply to payments made to consultants under an NIH or ADAMHA grant or contract (however, as with all costs, such payments must continue to meet the test of reasonableness);
- salary limitation IS intended to apply to those subawards for substantive work under an NIH or ADAMHA grant or contract;
- unobligated funds from a prior grant/contract period "carried over" INTO a FY 1990 award period ARE subject to the salary limitation provisions; and

EMPLOYEE NAME (LAST, FIRST, MIDDLE INITIAL)	SUFFIX
NIH EMPLOYEE	

EMPLOYEE I.D. NO.	EFFECTIVE DATE	DATE PREPARED	GEN. NO.
123456	1 1 90	1 25 90	0002

PERSONNEL ACTION FORM

560 (R12/87)

INSTRUCTIONS: When altering the contents of this form, TYPE the new information in the unshaded area BELOW the appropriate data field.

HOME DEPARTMENT NAME AND ADDRESS	CAMPUS
EMPLOYEE HOME DEPARTMENT BOX 0812	UCSF

PRINT DATE	PAGE
12 10 89	01 OF 02

A1

- ☐ 01 — INITIAL EMPLOYMENT
- ☐ 02 — Employment with Prior Service (Identify former name, dept., campus and separation date in Comments).
- ☐ 03 — Change of Pay Rate (If Staff — complete Box A).
- ☐ 04 — Merit Increase (If Staff — Complete Box B).
- ☐ 05 — Reclassification (Complete Box C).
- ☐ 06 — Separation (Complete Box D and complete Personal Data Form for Permanent Address change)
- ☐ 07 — Sabbatical Leave/Leave of Absence with Pay (Complete Box E).
- ☐ 08 — Leave of Absence without Pay (Complete Box E).
- ☐ 09 — Early Return from Leave of Absence
- ☐ 10 — Promotion
- ☐ 11 — Demotion
- ☐ 12 — Title Transfer
- ☐ 13 — Additional Employment
- ☐ 14 — Employment In Different Academic Series/Non-Series
- ☐ 16 — Change in Percent(s) of Full Time
- ☐ 17 — Renewal of Appointment
- ☐ 18 — Change in Fund Source
- ☐ 19 — Change in Home Department
- ☐ 20 — Error Correction
- ☐ 21 — Intercampus Action (Please indicate any other actions that apply and indicate other campus name in Comments)
- ☒ 22 — Other - Specify in Comments
- ☐ 35 — Transfer To/From Systemwide
- ☐ 36 — Transfer To/From Laboratory or the State.

EMPLOYMENT STATUS: ACTIVE

SOURCE OF DOCUMENT: RANGE ADJUSTMENT

LAST ACTION(S) TAKEN: 28

LAST EFFECTIVE DATE:

A2

A. CHANGE OF RATE	B. MERIT INCREASE	C. RECLASS	NEXT SAL. REV.	D. SEPARATION DATE / PAYMENT THROUGH	REASON	DESTINATION	CODE	E. LEAVE OF ABSENCE BEGIN DATE	RETURN DATE	TYPE
1. 6 MO INCREASE 2. CASUAL INCREASE 3. TRAINEE INCREASE 4. EXCEPT INCREASE 5. OTHER		1. UP 2. LATERAL 3. DOWN	1. 6 MO 2. MERIT 3. SPA 4. TRAINEE 5. NO SALARY REVIEW					MO DY		

LEAVE BENEFIT HOURS		
PAY	TRANS	ACCRUED THROUGH

VACATION LEAVE	SICK LEAVE

B1

U.C. STUDENT STATUS	UNITS THIS QTR.	HOME DEPT.	DATE OF HIRE	DATE OF BIRTH	CITZ	VISA	VISA/WK PRMT END	RET.	VCA	ACT STAT	EMPL REL CODE	UNIT
1 (1. NOT REGISTERED 2. NOT REG. DEG. CAND 3. UNDERGRADUATE 4. GRADUATE)		404920	12/01/76	01/24/39	C		MO DY YR	U	E		BELI	1

B2

CURRENT POSITION TITLE	PROPOSED POSITION TITLE	PROVISION SOURCE	C/T	CURRENT YEAR COST	FTE

APPT.	A/D/C	PERSONNEL PROGRAM CODE (E = EXECUTIVE, M = MAP, P = A&PS, S = STAFF, A = ACADEMIC)	APPOINTMENT TYPE CODE (1 = CONTRACT, 2 = REGULAR/CAREER, 3 = CASUAL, 4 = CASUAL/RESTR, 5 = ACADEMIC, 6 = PER DIEM)	ACADEMIC BASIS	PAID OVER	ACAD. YR. SERV. SUM	FALL	WTR	SPR	APPOINTMENT BEGIN DATE	END DATE	DUR. OF EMPLOYMENT	TITLE CODE	STEP/GRADE	O/A	% FULL TIME	F/V	ANNUAL/HOURLY RATE	RT	PAY SCHED	TIME	LV	WS
10		A	5							07 01 83	06 30 90	I	1726	III		1.00	F	131772.72	A	MO	E		

DIST.	A/D/C	ACCOUNT/FUND NAME	LOC.	ACCOUNT	FUND	SUB	FTE	DIST %	PAYMENT BEGIN DATE	END DATE	PAY PERIOD RATE/AMOUNT	DESC SERV	PERO TYPE
11		ANY ACCOUNT / NIH FUND	2	535401	29230	0		.3220	01 01 90	06 30 90	~~10,981.06~~ 10,000.00	REG	
12		DERMATOLOTY / GENERAL FUND	2	404920	19900	0		.1910	01 01 90	06 30 90	10,981.06	REG	

CURRENT POSITION TITLE	PROPOSED POSITION TITLE	PROVISION SOURCE	C/T	CURRENT YEAR COST	FTE

APPT.	A/D/C	PERSONNEL PROGRAM CODE (E = EXECUTIVE, M = MAP, P = A&PS, S = STAFF, A = ACADEMIC)	APPOINTMENT TYPE CODE (1 = CONTRACT, 2 = REGULAR/CAREER, 3 = CASUAL, 4 = CASUAL/RESTR, 5 = ACADEMIC, 6 = PER DIEM)	ACADEMIC BASIS	PAID OVER	ACAD. YR. SERV. SUM	FALL	WTR	SPR	APPOINTMENT BEGIN DATE	END DATE	DUR. OF EMPLOYMENT	TITLE CODE	STEP/GRADE	O/A	% FULL TIME	F/V	ANNUAL/HOURLY RATE	RT	PAY SCHED	TIME	LV	WS

DIST.	A/D/C	ACCOUNT/FUND NAME	LOC.	ACCOUNT	FUND	SUB	FTE	DIST %	PAYMENT BEGIN DATE	END DATE	PAY PERIOD RATE/AMOUNT	DESC SERV.	PERO TYPE
13		ANY ACCOUNT / NIH FUND	2	535401	29230	0		.4870	01 01 90	06 30 90	~~10,981.06~~ 10,000.00	HSC	
14		Dermatology Profee	2	404920	60220	0			01 01 90	06 30 90	477.78	BYC	

EXPLANATION OF CHANGE/COMMENTS

TO REDUCE NIH PAYRATE TO ADD BYA FOR DIFFERENCE IN REG PAY
TO ADD BYC FOR DIFFERENCE IN HSC PAY.

PREPARED BY | TELEPHONE NUMBER

CERT: I certify that the foregoing personal data are correct and I accept the position on the terms specified above contingent upon the availability of funds and formal Administrative and Regental approval. I recognize the salary is subject to such deductions as may be required pursuant to applicable laws and regulations. In the event that my service does not continue throughout the term, if any be specified, the salary due me will be based upon actual service performed and I will return to the University such part of my salary as is not actually earned on this basis.

APPROVALS

DEPARTMENT CHAIRPERSON	DATE	EMPLOYEE	DATE
DEAN/GRAD. DIV.	DATE	CHANCELLOR/VICE PRESIDENT	DATE
PERSONNEL	DATE		DATE

RETN: ACCOUNTING 5 YEARS AFTER SEPARATION EXCEPT IN CASES OF DISABILITY RETIREMENT OR DISCIPLINARY ACTION IN WHICH CASES RETAIN UNTIL AGE [illegible]

SEE REVERSE SIDE FOR PRIVACY NOTIFICATION.

[illegible] OFFICE

PERSONNEL ACTION FORM
Y 560 (R12/87)

EMPLOYEE NAME (LAST, FIRST, MIDDLE INITIAL)	SUFFIX
NJ Employee	

EMPLOYEE I.D. NO.	EFFECTIVE DATE	DATE PREPARED	GEN. NO.
123456	1 1 90	1 25 90	

INSTRUCTIONS: When altering the contents of this form, TYPE the new information in the unshaded area BELOW the appropriate data field.

HOME DEPARTMENT NAME AND ADDRESS

CAMPUS

PRINT DATE

PAGE 2 OF 2

A1

- ☐ 01 — INITIAL EMPLOYMENT
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- ☐ 04 — Merit Increase (If Staff — Complete Box B).
- ☐ 05 — Reclassification (Complete Box C)
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- ☐ 07 — Sabbatical Leave/Leave of Absence with Pay (Complete Box E).
- ☐ 08 — Leave of Absence without Pay (Complete Box E).
- ☐ 09 — Early Return from Leave of Absence
- ☐ 10 — Promotion
- ☐ 11 — Demotion
- ☐ 12 — Title Transfer
- ☐ 13 — Additional Employment
- ☐ 14 — Employment in Different Academic Series/Non-Series
- ☐ 16 — Change in Percent(s) of Full Time
- ☐ 17 — Renewal of Appointment
- ☐ 18 — Change in Fund Source
- ☐ 19 — Change in Home Department
- ☐ 20 — Error Correction
- ☐ 21 — Intercampus Action (Please indicate any other actions that apply and indicate other campus name in Comments).
- ☒ 22 — Other - Specify in Comments
- ☐ 35 — Transfer To/From Systemwide
- ☐ 36 — Transfer To/From Laboratory or the State.

EMPLOYMENT STATUS:

SOURCE OF DOCUMENT:

LAST ACTION(S) TAKEN:

LAST EFFECTIVE DATE:

A2

A. CHANGE OF RATE	B. MERIT INCREASE	C. RECLASS	NEXT SAL. REV.	D. SEPARATION DATE / PAYMENT THROUGH	REASON	DESTINATION	CODE	E. LEAVE OF ABSENCE BEGIN DATE	RETURN DATE	TYPE
1 6 MO. INCREASE 2 CASUAL INCREASE 3 TRAINEE INCREASE 4 EXCEPT INCREASE 5 OTHER		1 UP 2 LATERAL 3 DOWN	1 6 MO 2 MERIT 3 SPA 4 TRAINEE 5 NO SALARY REVIEW							

LEAVE BENEFIT HOURS

PAY	TRANS	ACCRUED THROUGH

VACATION LEAVE	SICK LEAVE

B1

U.C. STUDENT STATUS	UNITS THIS QTR.	HOME DEPT.	DATE OF HIRE	DATE OF BIRTH	CITZ	VISA	VISA/WK PRMT END MO DY YR	RET	PICA	ACT/STAT	EMPL REL CODE	UNIT
1 NOT REGISTERED 2 NOT REQ. DEG. CAND 3 UNDERGRADUATE 4 GRADUATE												

B2

CURRENT POSITION TITLE	PROPOSED POSITION TITLE	PROVISION SOURCE	C/T	CURRENT YEAR COST	FTE

APPT.	A/D/C	PERSONNEL PROGRAM CODE (E = EXECUTIVE, M = MAP, P = A&PS, S = STAFF, A = ACADEMIC)	APPOINTMENT TYPE CODE (1 = CONTRACT, 2 = REGULAR/CAREER, 3 = CASUAL, 4 = CASUAL/RESTR, 5 = ACADEMIC, 6 = PER DIEM)	ACADEMIC BASIS	PAID OVER	ACAD. YR. SERV. SUM	FALL	WTR	SPR	APPOINTMENT BEGIN DATE	END DATE	DUR. OF EMPLOYMENT	TITLE CODE	STEP/GRADE	O/A	% FULL TIME	F/V	ANNUAL/HOURLY RATE	RT	PAY SCHED	TIME	LV	W
		A	5							7 1 83	6 30 90		1726	III		1.00							

DIST.	A/D/C	ACCOUNT/FUND NAME	LOC.	ACCOUNT	FUND	SUB	FTE	DIST %	PAYMENT BEGIN DATE	END DATE	PAY PERIOD RATE/AMOUNT	DESC SER.	PERQ TYPE
15		Dermatology/Pro Fee	2	404920	60220	0			01 01 90	06 30 90	315.90	BYA	

CURRENT POSITION TITLE	PROPOSED POSITION TITLE	PROVISION SOURCE	C/T	CURRENT YEAR COST	FTE

APPT.	A/D/C	PERSONNEL PROGRAM CODE (E = EXECUTIVE, M = MAP, P = A&PS, S = STAFF, A = ACADEMIC)	APPOINTMENT TYPE CODE (1 = CONTRACT, 2 = REGULAR/CAREER, 3 = CASUAL, 4 = CASUAL/RESTR, 5 = ACADEMIC, 6 = PER DIEM)	ACADEMIC BASIS	PAID OVER	ACAD. YR. SERV. SUM	FALL	WTR	SPR	APPOINTMENT BEGIN DATE	END DATE	DUR. OF EMPLOYMENT	TITLE CODE	STEP/GRADE	O/A	% FULL TIME	F/V	ANNUAL/HOURLY RATE	RT	PAY SCHED	TIME	LV	W

DIST.	A/D/C	ACCOUNT/FUND NAME	LOC.	ACCOUNT	FUND	SUB	FTE	DIST %	PAYMENT BEGIN DATE	END DATE	PAY PERIOD RATE/AMOUNT	DESC SERV.	PERQ TYPE

EXPLANATION OF CHANGE/COMMENTS

PREPARED BY

TELEPHONE NUMBER

CERT

I certify that the foregoing personal data are correct and I accept the position on the terms specified above, contingent upon the availability of funds and formal Administrative and Regental approval. I recognize the salary is subject to such deductions as may be required pursuant to applicable laws and regulations. In the event that my service does not continue throughout the term, if any be specified, the salary due me will be based upon actual service performed and I will return to the University such part of my salary as is not actually earned on this basis.

APPROVALS

DEPARTMENT CHAIRPERSON	DATE	EMPLOYEE	DATE
DEAN/GRAD. DIV.	DATE	CHANCELLOR/VICE PRESIDENT	DATE
PERSONNEL	DATE		DATE

RETN: ACCOUNTING 5 YEARS AFTER SEPARATION, EXCEPT IN CASES OF DISABILITY, RETIREMENT OR DISCIPLINARY ACTION, IN WHICH CASES RETAIN UNTIL AGE 70

SEE REVERSE SIDE FOR PRIVACY NOTIFICATION

ACCOUNTING OFFICE

EMP106

UCSF INFORM PAYROLL/EMPLOYEE REPORT
FACULTY ABOVE NIH SALARY CAP REPORT AS OF March 23 1990
RUNDATE: 03/26/90 AT 13.59.07

MED SCH-LABORAT
BOX 0134

List of faculty paid on NIH funds whose distributions on those funds exceed the $10,000 monthly rate cap and whose PAF's need to be revised. Note that funds listed do not fall under the cap unless their most recent award was made on or after 10/1/89.
(Report includes all distribution lines including those not current.)

NOTE THAT THE SALARY RATES MUST BE LOWERED TO 10,000 AND BYC OR BYA LINES CREATED IN THE AMOUNTS SHOWN IN THE LAST COLUMN.

NAME_S	EMPL NUMBER	PAF DIST NUMBER	ACCOUNT	FUND	BEGIN DATE	END DATE	DESC OF SERV	MONTHLY RATE	% OF SALARY	BYC/BYA SAL AMOUNT	BEG MTH
SHOHET,STEPHEN B	761620	45	555279	30312	01/01/90	06/30/90	HSC	17,641.67	.2863	2,187.81	DEC
		46	454965	29127	01/01/90	06/30/90	HSC	17,641.67	.1131	864.27	AUG
		47	555277	30312	01/01/90	06/30/90	HSC	17,641.67	.0594	453.92	DEC
TOTAL CURRENT									.4588	3,506.00	
STITES,DANIEL P	803970	21	444938	29333	01/01/90	06/30/90	HSC	15,433.33	.1200	652.00	FEB
TOTAL CURRENT									.1200	652.00	
VYAS,GIRISH N	862998	44	484938	25725	01/01/90	06/30/90	REG	15,833.33	.1000	583.33	OCT
		45	484938	25725	01/01/90	06/30/90	HSC	15,833.33	.1500	875.00	OCT
		48	484938	25726	01/01/90	06/30/90	HSC	15,833.33	.1500	875.00	OCT
		51	555324	23920	01/01/90	06/30/90	HSC	15,833.33	.0500	291.67	JUL
		52	444938	29345	01/01/90	06/30/90	HSC	15,833.33	.0500	291.67	JUL
		55	555416	29664	03/01/90	06/30/90	HSC	15,833.33	.0591	344.75	SEP
TOTAL CURRENT									.5591	3,261.41	
		53	555416	29664	02/01/90	02/28/90	HSC	15,833.33	.1182	689.50	SEP
TOTAL PRIOR									.1182	689.50	

If you have questions about how to correct the errors listed above, call the Payroll Division of Accounting at 476-1850.
NOTE: All PHS funds, the vast bulk of which are NIH, have been included in this report.
For those funds indicated, please prepare a Payroll Expenditure Transfer Form UPAY 646-2 for all retroactive adjustments.

```
-*************************************************************************
-* FOCEXEC: NIHCAP    SYSTEM : FINANCIAL FOCUS APPLICATIONS
-* PURPOSE: TO MONITOR ADHERENCE TO 120K SALARY CAP FOR NIH GRANTS.
-*
-* DATE WRITTEN: 12/15/89  BY: JOHN UNGARETTI
-* DATE CHANGED: 01/19/90  BY: DAVID LOWNDES
-* NATURE OF CHANGE: CONVERTED TO INFORM (AS EMP106X).
-* DATE CHANGED: 02/07/90  BY: DAVID LOWNDES
-* NATURE OF CHANGE: MODIFIED TO PRODUCE CAMPUS-WIDE REPORT FOR PAYROLL.
-*************************************************************************
-*
-*************************************************************************
-* DISPLAY USER MESSAGE.
-*************************************************************************
-CMS CTSGRF CLEAR
-TYPE PROCESSING REPORT NIHCAP...
-*
-*************************************************************************
-* PRODUCE THE REPORT.
-*************************************************************************
TABLEF FILE EMP
PRINT EMPNO
      NAME
      EMPSTAT
      TITLETYPE
      ORGUNIT
      UNITNAME
      HOMEDEPT
      HDPTLONG
      HDPTSHORT
      HDPTADDR
      DISTNO
      ACCOUNT
      FUND
      DISTBEGIN
      DISTEND
      DOS
      DISTMORATE
      DISTPCT
IF TITLETYPE EQ 'A'
IF EMPSTAT EQ 'A'
WHERE (FUND GE '23550' AND FUND LE '23599') OR
      (FUND GE '23600' AND FUND LE '24899') OR
      (FUND GE '29000' AND FUND LE '33999') OR
      (FUND GE '24900' AND FUND LE '24923') OR
       FUND EQ '24925' OR
      (FUND GE '24927' AND FUND LE '24928') OR
      (FUND GE '24930' AND FUND LE '24999') OR
      (FUND GE '25700' AND FUND LE '25799') OR
      (FUND GE '26200' AND FUND LE '26299') OR
      (FUND GE '27750' AND FUND LE '27799') OR
      (FUND GE '28200' AND FUND LE '28299') OR
      (FUND EQ '23405' OR '23406' OR '23407' OR '23410'
       OR '23411' OR '23412' OR '27712')
ON TABLE HOLD
```

```
END
DEFINE FILE HOLD
SCHOOL/A9 = IF EDIT(ORGUNIT,'9$$$') EQ '5' THEN 'DENTISTRY' ELSE
            IF EDIT(ORGUNIT,'9$$$') EQ '6' THEN 'MEDICINE' ELSE
            IF ORGUNIT EQ '2020' THEN 'MEDICINE' ELSE
            IF EDIT(ORGUNIT,'9$$$') EQ '7' THEN 'NURSING'  ELSE
            IF EDIT(ORGUNIT,'9$$$') EQ '8' THEN 'PHARMACY' ELSE 'OTHER';
ULINE/A19 = DECODE SCHOOL (DENTISTRY '------------------'
                           MEDICINE  '------------------'
                           NURSING   '-----------------'
                           PHARMACY  '------------------');
DATENUM/I6     =  &YMD;
DATEYMD/A6YMD =  EDIT(DATENUM);
DISTDATE/A14   =  IF DISTBEGIN LE DATEYMD AND DISTEND GE DATEYMD
                     THEN ' TOTAL CURRENT' ELSE
                  IF DISTBEGIN GT DATEYMD
                     THEN ' TOTAL FUTURE'  ELSE
                  IF DISTEND LT DATEYMD
                     THEN ' TOTAL PRIOR'   ELSE ' ' ;
DEA6/A6        =  CHGDAT ('A6YMD', 'A6MDY', DISTEND, DEA6);
DE/A8          =  IF DISTEND EQ '999999' THEN '99/99/99'
                  ELSE EDIT(DEA6,'99/99/99');
DB/MDY         =  DISTBEGIN;
END
-*

TABLE FILE HOLD
PRINT DISTNO     AS 'PAF,DIST,NUMBER'
      ACCOUNT
      FUND
      DB         AS 'BEGIN,DATE'
      DE         AS 'END,DATE'
      DOS        AS 'DESC,OF,SERV'
      DISTMORATE AS 'MONTHLY,RATE'
      DISTPCT    AS '% OF,SALARY'
      HDPTSHORT
      HDPTADDR
      SCHOOL
      ULINE
      HOMEDEPT
      HDPTLONG
BY FUND     NOPRINT
BY SCHOOL   NOPRINT
BY HOMEDEPT NOPRINT
BY NAME
BY EMPNO AS 'EMPL,NUMBER' IN +11
BY DISTDATE
BY DISTNO
IF DISTMORATE GT 10000
ON TABLE HOLD AS NIHEMP
END

EX NIHSTART
JOIN FUND IN NIHEMP TO FUND IN NIHFUND
```

```
DEFINE FILE NIHEMP
  NAME_S/A20 = EDIT(NAME,'99999999999999999999$$$$$$') ;
END

TABLE FILE NIHEMP
HEADING
"EMP106 <40 UCSF INFORM PAYROLL/EMPLOYEE REPORT <112 <HDPTSHORT"
"<29 FACULTY ABOVE NIH SALARY CAP REPORT AS OF &&EMPMONTH &&EMPLONGDT2
<112 <HDPTADDR"
"<43 RUNDATE: &DATE AT &TOD </1"
"<23 List of faculty paid on NIH funds whose distributions on those funds"
"<23 exceed the $10,000 monthly rate cap and whose PAF's need to be revised."
"<23 Note that funds listed do not fall under the cap
<+1 unless their most recent"
"<23 award was made on or after 10/1/89."
"<23 (Report includes all distribution lines including those not current.)"
"</1 <4 NOTE THAT THE SALARY RATES MUST BE LOWERED TO 10,000 AND BYC OR BYA
<+1 LINES CREATED IN THE AMOUNTS SHOWN IN THE LAST COLUMN. </1"
PRINT DISTNO      AS 'PAF,DIST,NUMBER'
      ACCOUNT
      FUND
      DB          AS 'BEGIN,DATE'
      DE          AS 'END,DATE'
      DOS         AS 'DESC,OF,SERV'
      DISTMORATE  AS 'MONTHLY,RATE'
      DISTPCT     AS '% OF,SALARY'
AND COMPUTE NIHAMT/D8.2 = (DISTMORATE - 10000) * DISTPCT ;
                          AS 'BYC/BYA,SAL AMOUNT'
      STMTH       AS 'BEG,MTH'
BY SCHOOL   NOPRINT
BY HOMEDEPT NOPRINT
ON HOMEDEPT PAGE-BREAK SUBHEAD
"</1 SCHOOL OF <SCHOOL>"
"<ULINE> </1"
"HOME DEPT: <HOMEDEPT  ---  DEPARTMENT NAME: <HDPTLONG"
"****************** </1"
ON HOMEDEPT SUBFOOT
"-----------------------------------------------------------------------------
<-1 ------------------------------------------------"
"</4 If you have questions about how to correct the errors listed above,
<69 call the Payroll Division of Accounting at 476-1850."
"NOTE:  All PHS funds, the vast bulk of which are NIH, have been included
<73  in this report."
"For those funds indicated, please prepare a Payroll Expenditure Transfer
<73  Form UPAY 646-2 for all retroactive adjustments."
BY NAME_S
BY EMPNO AS 'EMPL,NUMBER' IN +11
BY DISTDATE NOPRINT NOSPLIT
ON NAME_S SUBHEAD
"-----------------------------------------------------------------------------
<-1 ------------------------------------------------"
ON DISTDATE SUBTOTAL DISTPCT NIHAMT AS ''
BY DISTNO NOPRINT
ON TABLE NOTOTAL
IF DISTMORATE GT 10000
```

```
END
-RUN
```

```
-*********************************************************************
-* FOCEXEC WRITTEN BY: JOHN UNGARETTI
-* TELEPHONE:          6-5655
-* PURPOSE:            TO GENERATE A LIST OF PHS FUNDS AND THEIR START
-*                     MONTHS TO MONITOR FIRST YEAR IMPLEMENTATION OF
-*                     NIH SALARY CAP.
-* PRELIM OR RELATED VERSIONS NAMED:
-* FOCUS FILE USED: FND
-* DATE WRITTEN: 02/07/90
-* ------------------------------------------------------------------
-* C H A N G E S :
-*   DATE      WHO?        WHY?
-*   /  /
-*   /  /
-*   /  /
-*********************************************************************
DEFINE FILE FUNDSUM
FED/A1 =  IF FUND GE '21100' AND FUND LE '33999' THEN 'Y' ELSE 'N' ;
STMTHS/A2 = EDIT(FUNDSTART,'99$$$$');
STMTH/I2MT = EDIT(STMTHS);
END
TABLE FILE FUNDSUM
PRINT FUND
      FUNDTTL
      STMTH
IF FED EQ 'Y'
-* RL 50
ON TABLE HOLD AS NIHFUND
END
```