A. **EXC CALENDAR**

The EXC calendar will be distributed by Sponsored Research Services to Deans, Department Heads, Faculty, Business Contacts, and other appropriate personnel and will be posted on the SRS website. The Calendar will indicate periods during the Academic Year that EXC can be earned as well as due dates for the EXC Labor Verification Statements and payment request deadlines (Department-initiated PCR’s). (Attachment A).

B. **EXC RESEARCH YEAR DEFINED**

The EXC research year is from September 1 to August 14 and consists of the three traditional academic terms (Fall, Winter, and Spring) and the academic break periods (Summer-September, Winter, Spring, and Pre-Summer, Summer-June, Summer-July & Summer-August). **The Summer Quarter 2012 will be seven (7) weeks long due to the Fall 2012 conversion to a semester calendar.** EXC payment is allowed for the non-traditional term off. Notification of the faculty member’s adjusted term off must be confirmed by the Department Head/Chair and submitted to SRS Accounting. Departments must contact SRS for non-traditional EXC Labor Verification Statements, Calendar and Calculator Template. Payment of effort by sponsored sources is limited to the break periods and classified as EXC. EXC payment is figured at the per-break-period maximum. EXC cannot be paid for effort on paid holidays.

**NOTE:** Law College EXC year begins August 1 and ends July 31.

C. **FACULTY THAT MAY EARN EXC**

Nine-month appointed Faculty on Up-town Campus, Branch Campuses, and the Colleges of Nursing, Allied Health Sciences and Pharmacy can earn EXC, Deans excluded. Normally College of Medicine College faculty cannot earn EXC since they have 12-month appointments. Non-College of Medicine faculty can earn EXC by working on College of Medicine sponsored awards. Eligible faculty on sabbatical leave may be paid EXC if approved by the awarding agency and the Provost.

D. **RESEARCH EFFORT REPORTING**

Research effort must be recorded and certified by the PI completing and signing the EXC Labor Verification Statement for each EXC Break Period (Attachment B). The completed EXC LVS is due to the Provost within 30 calendar days from the last day of the date range of the EXC break period. Refer to the EXC Calendar or EXC LVS for EXC LVS due dates. All signatures requested on the EXC LVS are required for payment. EXC effort must occur within the dates of the sponsored award and the EXC Break Period. EXC effort reported up to 90 days prior to the start date of a new award will be paid only if pre-award costs are allowed. Copies of the EXC LVS will be retained in the Provost Office and used to approve payment request PCR’s. Departments should retain the original EXC Labor Verification Statement. For sponsored accounts not yet assigned a UC accounting number, use the agency’s grant/contract number to identify the project to which the percentage of Break Period Effort applies.

**NOTE:** Effort performed during non-release time in the academic year cannot be claimed during EXC periods.

E. **REQUESTING PAYMENT**

Effort for Summer-September EXC Break Period and all subsequent EXC Break Periods, Department PCR Initiators must process a one-time EXC-Intersession Comp Wage-Type PCR by the EXC PCR deadline to request payment. See EXC Calendar - Attachment A.

EXC payment requests must be approved by the appropriate personnel.
E. REQUESTING PAYMENT continued

EXC may not be paid in advance.

If the sponsor requires a final invoice before 90 days, the PCR and all required documentation must be received and approved by the Provost in time to be included with the final invoice.

One-time EXC PCR’s:
- initiated after Payment Request Due Date,
- missing adequate documentation,
- initiated more than 30 days after the sponsored award end date or
- initiated after the final invoice has been sent
will be denied and returned to the Department PCR Initiator or rejected.

F. Account Codes and Funding: The proper accounting codes should be used on all EXC Labor Verification Statements and PCR’s and checked in UCFlex for validity. PCR’s received with invalid account information will be returned to the Initiator for correction, as will those with accounts that do not match previously reported effort. EXC payment requests on accounts with insufficient funds to cover salary, fringe, and related overhead will be calculated and paid based on the balance remaining in the account or returned to the PCR Initiator. If there is to be an increase in funding, a transfer of expenditures, or any other transaction affecting the remaining balance on the sponsored award, then supporting documentation should be sent by email attachment to extracomp@uc.edu and an explanatory comment must be included in the PCR. If the supporting documentation is not provided, the payment will be made for the available balance or the PCR will be returned to the Initiator.

G. MAXIMUM EXC ALLOWABLE

Maximum EXC: The maximum EXC allowable in one academic year is 14/32 of a faculty member’s adjusted annual base salary (100% Break Periods Effort equals 14/32 adjusted base salary). Faculty with salary increases during the academic year will have their annual base salary prorated for the purpose of calculating the maximum EXC allowable for the EXC period. Annual base salary is adjusted when a faculty member’s pay is other than a nine-month base (i.e., 7/8) and/or administrative pay is involved. Details of these calculations can be found on the EXC Calculator available on the SRS website.

Term Off and Administrative Pay: Term-off pay (traditionally summer) and lump-sum administrative pay (paid in one or two monthly amounts during the term off) will reduce the maximum amount of EXC that can be paid.

H. AGENCY RESTRICTIONS

Restrictions on EXC include, but are not limited to, the agencies listed below. It is the faculty member’s responsibility to be aware of agency guidelines and policies. EXC requests exceeding agency limits will be adjusted accordingly for payment without notification or returned to the originating department.

Department of Health and Human Services (DHHS): According to Public Law 112-74: Consolidated Appropriations Act 2012, the salary paid to an individual on any DHHS funded award (not just NIH, AHRQ and SAMHSA) cannot exceed the Executive Level II of the Federal Executive Pay Scale. Level II of the Federal Executive Pay Scale is currently $179,700.00 and is effective with awards issued on/after 12/23/2011. The nine (9) month equivalent is $110,584.62 ($86.39/hour). Federal Executive Level I still apply to awards issued on/before 12/22/2011. The effective salary cap remains at $199,700.00 until new funding is given or a
H. AGENCY RESTRICTIONS continued

modification of award notice is received. The nine (9) month equivalent for Executive Level I is $122,892.31 ($96.01/hour).

**National Science Foundation (NSF):** NSF has changed its policy, effective for proposals received on or after January 5, 2009, to allow two months of cumulative salary compensation for senior personnel throughout a one year period, i.e. maximum of 2/9 adjusted base salary. For all proposals received prior to January 5, 2009, NSF still limits summer salary (adjusted for administrative stipends) across all NSF awards to no more than two summer months in total. The new policy applies to all senior personnel and drops the distinction between summer salary and academic year salary. This limit includes salary received from all NSF funded grants. The university has defined the “one year period” to follow the academic year (September 1 to August 31).

**Ohio Coal Development Office (OCDO):** OCDO allows a maximum of 2/9 of the annual base salary to be paid.