Academic Program Support Commitment Guidelines

Policy Statement

Commitments from the Yale School of Medicine (YSM) Dean’s Office are investments in the recruitment and retention of faculty and in the programs that support YSM’s research mission. Generally, these funds are not used for major renovations, funding for ongoing operating expenses, or expenses for the process of recruiting (recruitment ads, travel, meals, etc.).

General Guidelines

A. The YSM Dean’s Office negotiates commitments with individual department chairs and center directors primarily for the recruitment and retention of research faculty and/or investments in strategic programs.

B. All agreements should be in writing, detailing arrangements, time frame and amounts

C. Copies of the agreements should be given to the YSM Director of Financial Planning & Analysis

D. These commitments are confidential and should not be shared in detail with individuals outside of the Dean’s Office

E. Departments should charge the appropriate agreement expense to a department account using the workday Charge of Accounts (COA) segments designated by the YSM Controller’s Office

F. The appropriated commitment expenses will be reimbursed by YSM
   1. Funding requests should be sent to YSM Finance (Financial Analyst, David.crockett@yale.edu)
2. Expenses will not be reimbursed if documentation of the agreement is not on file.

G. The typical approach to agreements will be the following:
1. Approval to recruit a new faculty member will be managed via the Request for Position (RFP) process and will be contingent on many factors including programmatic priority, availability of appropriate research space, commitments to chairs, etc.
2. Basic Science departments:
   i. Average start-up package sizes are determined by the YSM Dean’s Office (as of 2020, approximately $1.8M)
   ii. Any additional commitments should be reviewed on a case by case basis, and the financial status of the department should be taken into account (e.g. sign-on bonus payments should be agreed up front)
3. Clinical departments typically share in the research commitments equally with the department, if they are financially sound.

H. Commitments when a faculty member leaves YSM will be determined using the following approach:
1. If a department chair leaves, the following will occur for faculty recruitments in progress:
   i. For faculty who were recruited and have already arrived at YSM, we will follow through with the commitments
   ii. For faculty who have accepted a written offer, we will follow through with those commitments
   iii. For faculty who have received a written offer but have not yet responded, we will undergo a review to determine how best to proceed (i.e., continue with commitments, withdraw offers, etc.)
   iv. All other recruitment conversations will be put on hold
2. If an individual faculty member leaves, the following will occur:
   i. The Academic Program Support commitment ends
   ii. Any use of these funds must be approved in writing by the relevant Deputy Dean for Research and the Deputy Dean for Finance and Administration, who will review on a case-by-case basis and has the discretion to approve or deny spending requests
   iii. If the faculty member needs to close down their lab, a detailed exit plan must be submitted to the relevant Deputy Dean for Research, for review and approval of any covered expenses
3. For more specific information about spending funds in endowed professor and Academic Program Support accounts, please refer to the section below.
Spending of Funds in Endowed Professor and Academic Program Support Accounts for Faculty leaving YSM

A. If a faculty leaves YSM to accept a position at another university, spending on endowed and Academic Program Support funds will be frozen on the YSM departure date.

B. Any use of these funds must be approved in writing by the relevant Deputy Dean for Research, who will review on a case-by-case basis and has the discretion to approve or deny spending requests. In general, use of these funds will only be approved for research activities of trainees that remain at Yale after the move.

C. Process
   1. The faculty member should meet with the Chair and Lead Administrator of the Department to discuss possible spending of endowed and Academic Program Support funds and to develop a detailed budget of costs.
   2. The budget must be approved by the relevant Deputy Dean for Research, as well as the Deputy Dean for Finance and Administration.
   3. Some criteria/considerations in developing a budget include the following:
      i. Consideration will be given to supporting student trainees (stipend, fees, research costs) and staff (salary and research costs). Strong rationale for why these activities cannot be supported on grants must also be provided. Students can be supported for the remainder of their training.
      ii. If possible, staff can be reassigned based on the operational needs of the department. Otherwise, staff will be notified that their work assignment is ending and provided with appropriate layoff notification (typically 90 days from date of institutional approval).
      iii. New equipment purchases will not be allowed
      iv. Use of endowment funds can only occur with written approval
      v. Academic Program Support is managed centrally, and any remaining funds will only be available for use in extraordinary circumstances, and only with written approval
      vi. The business office must track the remaining spending against the budget. Any funds incurred beyond the budget must be covered by the department.

Appendix: Types of Commitments

A. Chair packages: These packages are determined by the YSM Dean’s Office.
   1. Some are a lump sum amount agreement
   2. Others have specific number of allowable recruitment slots

B. Faculty start-up packages:
   1. The size of the start-up package should be determined when the candidate has been identified and discussed with the YSM Dean’s Office in detail
   2. Packages typically cover the following:
i. Relocation allowance
ii. Salary and fringe benefits for the first three years
iii. Lab establishment expenditures: personnel, equipment, laboratory supplies, animal costs, service contracts, and other research–related costs for establishing a lab

C. **Retention commitments**: These commitments are to meet the needs for YSM’s most highly valued and at-risk faculty members (e.g. counteroffers, preemptive salary enhancements, etc.)

D. **Bridge funding approach**:
   1. Review the financial projection from a department for the Principal Investigator (PI) who is requesting bridge funding, which includes current grants, discretionary funds, expenses (with reductions, where possible), and a list of pending grants
   2. Make determination using the following criteria - financial need, research excellence, and the likelihood of future funding
   3. Evaluate sources of funding: investigator, department, and/or YSM Dean’s Office funds
   4. Assess the commitment by the faculty member
      i. Follows an agreed-upon plan and timetable for grant applications
      ii. Allows time for review of applications before they are submitted

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**Related Information**

APS Tool: [https://fms5.its.yale.edu/fmi/webd/YSM_Academic_Program_Support](https://fms5.its.yale.edu/fmi/webd/YSM_Academic_Program_Support)

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**Contacts**

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**Form and Exhibits**