Purpose

The following guidelines provide Principal Investigators (PIs) information on hiring practices and on incurring travel and other expenditures on grant and contract funding. Re-budgeting within or between budget categories may require funding agency prior approval. (See Director, Sponsored Research Planning and Administration, for questions in this area.)

1. Hiring Employees, Contractors, and Graduate Students

STATEMENT

The PI or other person eligible to incur research expenses may make discretionary hiring decisions for contracted labor up to $3,000 per action or expense. Requests in excess of this amount require approval by the Vice President, Administration, or his/her designee.

A letter of agreement (LOA) may be required to hire personnel to work under a grant. The PI or Co-PI should contact the Director, Sponsored Research, who will issue the LOA.

All persons who are hired as SFI employees must be hired through the SFI payroll office. The PI should contact the Director of Human Resources (DHR).

All expenses for hired and contracted labor must be allowed by the grant or funding vehicle.

GRADUATE STUDENTS

Appointments of graduate students, who will be in residence at SFI, must be approved by the Chair of Faculty; the appointment letter will be issued by the Manager, Events and Visitor Programs in consultation with the Director, Sponsored Research, if expenses are to be charged to a grant. Appointments for graduate students who will be in residence elsewhere must be approved by the Chair of Faculty. If the graduate student is to receive salary or stipend compensation from a grant, a letter agreement, usually with the home institution, will be issued by the Director, Sponsored Research, within SFI guidelines.

POSTDOCTORAL POSITIONS

Appointments of postdoctoral fellows or researchers are usually as SFI employees. However, in some cases, postdoctoral fellows are paid directly as independent contractors or through buyouts at a home university. Please contact the Director, Sponsored Research or DHR for more information.

VISITORS AND SUMMER SALARY

Invitation letters for visiting researchers or collaborators must be approved by the Vice President, Administration (not SFI-affiliated visitors) or the Chair of Faculty (SFI-affiliated visitors); the visitation letter will be issued by the VHM in consultation with the Director, Sponsored Research, if expenses are to be charged to a grant.

The PI may approve summer salary for other investigators specifically named in the approved grant budget; however, a letter must be issued in advance of the visitor arrival to ensure payment. The Director, Sponsored Research, will issue letter agreements for payments. See the section on Travel below for more details.
SFI Procedure – Committing Funds and Approving Expenditures for Principal Investigators on Grants and Contracts

2. **Purchasing Equipment**

   The purchase of equipment items approved under contract and grant funding should be routed through the SFI Information Technology Group and the Finance Office. Equipment purchases not in the approved grant budget should be discussed with the Director, Sponsored Research, prior to ordering the equipment.

3. **Travel**

   Any travel costs incurred under grants and contracts are subject to both SFI travel policies and to sponsoring agency policies. In some cases agency prior approval is required for foreign travel regardless of its inclusion in the approved budget. In the case of federal agencies, the use of U.S. Flag carriers is required to the maximum extent possible. Any non-U.S. citizen/international travelers must receive SFI prior approvals to ensure reimbursement is possible (dependent on visa status).

4. **Workshops and working groups**

   Any workshops and working groups planned to take place at SFI and funded through a contract or grant require prior approval of the Science Steering Committee and the Chair of Faculty, respectively.

**Related Policies and Procedures**

- AD06.1 Procedures for Workshops and Working Groups
- AD06.2 Guidelines for Workshop/Working Group Organizers
- AD06.3 Workshop/Working Group Proposal Form
- FN05 Travel Authorization and Reimbursement Policy
- Travel reimbursement form for visitors
- Travel reimbursement form for workshop attendees
- FN06 Procurement Policy
- FN10 Cash Advances
- FN12.2 Procedures Regarding SFI Support of Nonresident Research Scholars and Visitors
- FN22 Financial Commitment and Signature Authority for SFI Principal Investigators and Other Key Personnel on Grants and Restricted Donations
- GM03 Management of Sponsored Projects Policy
- GM04.1 Procedures and Responsibilities for Principal Investigators on Grants and Contracts
- GM05 Policy and Procedure on Subrecipient Monitoring
- HR11 Relocation Expense Policy
- HR08.1 Procedure for Routing Appointment and Employment Letters
- HR08.2 Hiring Guidelines
- HR08.3 Procedures for Recruitment of Administrative Employees
- HR08.4 Procedures for Recruitment of Postdoctoral Employees
- HR05.2 Procedures for Defining and Safeguarding Confidential Recruitment Information
- HR01 Employee Handbook
- HR02 Visitor/Contractor Handbooks