



COLLEGE OF EDUCATION, HEALTH AND HUMAN SCIENCES RESEARCH INCENTIVE PLAN (RIP)

SALARY RECOVERY

Salary recovery is a source of discretionary funds within the department or unit used to support the fiscal needs of the department or unit. The department head, or equivalent leader of the unit, has control over these resources. In circumstances in which the department is in good fiscal standing and discretionary funds are available, one area of departmental need that salary recovery can be used is to enhance the quantity and quality of externally funded scholarship within the department through an incentive award.

PURPOSE of RIP

The purpose of the CEHHS Faculty Research Incentive Plan (RIP) is to enhance the quantity and quality of externally funded scholarship in CEHHS by incentivizing faculty who obtain external funding that incurs salary recovery. The incentive award will provide funding that can be used for the following, either singularly or in combination: salary supplement and/or scholarship support (e.g., travel, supplies, graduate student time, etc.). The incentive award is an option for faculty who are successful in securing external funding while meeting or exceeding expectations in other scholarly responsibilities of teaching, research, and service.

In order to continue to expand and strengthen its research enterprise, the college will conduct an evaluation of its research incentive plan every 3 to 5 years to determine its effectiveness in establishing a vibrant research ecosystem. In particular, the balance of investments among people (e.g. in faculty, staff and students), infrastructure (e.g. in facilities, instrument, and tools), and other activities will be explored. This evaluation may result in a temporary pause or change in the terms of the research incentive plan at the discretion of the Dean.

GUIDELINES

Should the department head determine that departmental resources are sound, it is expected that the head will use the RIP to incentivize faculty who bring in external funds. The amount of the yearly incentive award will be limited to a percentage of the individual's 9-month or 12-month salary and will be a function of salary recovery funds included in sponsored project budgets. At the end of the fiscal year, each faculty member will be evaluated to determine if eligibility requirements have been met. If so (and resources are available within the unit), an incentive award will be provided in the following fall semester. How the incentive award will be utilized should be determined by the faculty member with department head consent. The faculty member must be on payroll during the month the award will be provided or no award will be issued. The CEHHS director of finance and administration will work with department accounting staff and department heads to develop a list of faculty with salary recovery at the beginning of August annually.

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The following regular full-time faculty are considered eligible based upon their faculty classification:

- assistant, associate and full professor
- clinical assistant, associate and full professor
- assistant, associate and full professor of practice
- lecturer, senior and distinguished lecturer

*instructors and adjunct faculty are not eligible for the RIP

The incentive award is determined on the basis of the following criteria:

- Faculty must recover a minimum of 5% of academic year salary during the fiscal year prior to becoming eligible for an incentive award. This 5% will be retained by the department. Maximum total award to the faculty is set at 20% of base salary, which is based on the Office of Research and Engagement Policy. From the maximum total award available to faculty, department heads will determine the amount of the incentive award possible, given the fiscal standing of the department. It is encouraged if the fiscal standing of the department is such that the maximum total amount available to faculty is not possible, the percentage in reduction of the award is equitable across all eligible faculty.
- For 9-month faculty, summer salary is not eligible. RIP will only be calculated on academic year effort.
- These funds are administered at the discretion of the dean, director, or department head, depending on who is the leader of the unit to which the faculty member belongs.
- The faculty member has met or exceeds expectations in the categories of teaching, research, and scholarship as determined by the unit. Evidence of meeting this criterion is the annual faculty evaluation, completed by the immediate supervisor.

OTHER GUIDANCE

- RIP is only eligible on base-budget salary where salary is provided from sponsored projects (Matching funds are not included in any calculations and are ineligible for RIP). Faculty who are 100% soft/grant funded are not eligible for this plan.
- Faculty members may request that all, or a portion, of the incentive award be transferred to a personal research support fund. Expenses to this research support fund must follow UT fiscal policy.
- As stated, payments will only be made after all college, center, and/or department annual obligations have been met.
- Incentive awards will be made each fall, for salary recovery earned in the previous fiscal year. The incentive award must be used in the fiscal year in which it is dispersed, as no carry over will occur.
- Salary recovery percentages are estimates at proposal phase. The actual dollar amount charged/expended from the sponsored project budget is the amount the incentive award is calculated from.
- ORNL joint salary is not considered salary recovery.
- When the finalized annual faculty evaluation is completed by the provost; if it indicates less than meets expectations in the categories of teaching, research, and scholarship; and if the incentive award has already been dispersed to the faculty member; the faculty member will be ineligible for an incentive award during the next fiscal year.
- Course buyouts are subtracted from total salary recovery to determine the incentive award.

The following illustrates an example calculation:

For a faculty member with a \$100K salary for 9 months and three funded research projects with the following expenditures for a fiscal year.

Example RIP Award Calculation:					
		Faculty Time	Recovery	% allowed up to 20% total	Incentive Award
Project 1:	Salary Recovery	10%	\$10,000	5%	\$5,000 (5%)
Project 2:	Salary Recovery	15%	\$15,000	Reduced to 5% due to cost share	

	Departmental Cost Share via PI salary		-\$10,000 (=10% effort)		\$5,000 (5%)
	Salary Recovery	25%	\$25,000		
Project 3:	Departmental Coverage of Course Buyout	1 course buyout = 12.5% effort	-\$12,500 (12.5% effort remains after course buyout)	Reduced to 10% based on 20% cumulative total allowed for incentive award in FY	\$10,000 (10%)
Total Incentive Award Allowed					\$20,000

Thus, a maximum incentive award of \$20,000 would be appropriate if funds are available and if the faculty has met the expectations of the faculty position in teaching, research, and service. Faculty would not be eligible for an incentive award if they have failed to meet expectations in any area defined by the departmental annual review. In the example, the \$20,000 incentive award can be taken in total to supplement salary, in total be transferred to a personal research support fund, or split so that a portion is in supplemental salary and a portion is transferred to a personal research support fund.

STEPS

1. Financial person in the department calculates yearly incentive award based on the salary as of August 1st of the year RIP is earned.
2. College leadership and the department head determine if the college and departmental annual obligations are met and if discretionary funds are available for the incentive award.
3. Department head will determine if faculty member has met criteria for eligibility.
4. Department head meets with faculty member to determine how incentive award will be dispersed.
5. CEHHS' director of finance and administration reviews the calculation and forwards to the associate dean of research for approval. Associate dean of research returns signed forms to the CEHHS' director of finance and administration.
6. CEHHS' director of finance and administration provides signed copy to the department business manager/officer, who confirms with faculty if all, or a portion, of the incentive award will be transferred to a personal research support fund or remain as a department resource in lieu of a salary payment. If the faculty elects to put the funds into a personal research support fund, the departmental business officer will need to create an internal order and tracking sheet for the faculty member to maintain these expenditures.
7. Department business manager/officer instructs department payroll person to enter additional pay in IRIS for a faculty incentive award.
8. CEHHS' director of finance and administration approves IRIS transactions and forwards approved forms and plan documents to the budget & finance office.
9. Associate dean of research reviews the RIP document annually and seeks revision feedback from department heads. Changes to the plan are approved through the vice chancellor of research and the senior vice chancellor of budget & finance and faculty are notified of changes prior to the start of the new academic year.