

	<b>Mines Research Incentive Program</b>	
	<b>Responsible Administrative Unit:</b> Academic Affairs	<b>Program Contact:</b> Provost <a href="mailto:academic-affairs@mines.edu">academic-affairs@mines.edu</a>

## 1.0 BACKGROUND AND PURPOSE

The Colorado School of Mines (“Mines”) is committed to being a great community to learn, work and live for its faculty and staff. As part of this commitment, Mines has implemented an incentive program to compensate faculty for engaging in extensive research activities while continuing to maintain their standard responsibilities in teaching and service.

The establishment of this research incentive program is intended to enable the hiring, rewarding and retaining of top researchers, incentivize excellence in research and scholarly productivity and enhance the overall Mines research portfolio.

## 2.0 PROGRAM DESCRIPTION & REQUIREMENTS

### 2.1 GENERAL

The Mines Research Incentive Program (“MRIP”) will incentivize research-active faculty by allowing those that meet the Eligibility requirements to use external funding sources to increase their Total Compensation up to 30%, in accordance with this Program.

### 2.2 ELIGIBILITY

To be eligible for consideration for the MRIP, faculty must meet the following criteria:

1. Full-time Academic Faculty, as defined in Faculty Handbook
2. Faculty must be in good standing according to the following criteria:
  - i. Have annual evaluations of meets expectations or higher in the overall performance category in their last three review cycles (not required for new hires bringing in sufficient funding to participate in this program).
  - ii. Fulfill a normal teaching load, i.e., there can be no teaching charge-outs to fulfill external research obligations

- iii. Fulfill all research support responsibilities and staffing, including but not limited to funding current and incoming graduate students (stipend, tuition, fees and benefits), postdoctoral positions, staff research positions, etc., within the research group. Financial resources may not be diverted from these commitments to fund MRIP participation.
  - iv. Fulfill all Mines service activities commensurate with rank.
  - v. Have all research programs in good standing (e.g., no outstanding deliverables, no projects in unauthorized deficit, etc.).
  - vi. Comply with all Mines Policies as published on the Mines Policy Library
3. Faculty must have a 3 year annual average of research expenditures greater than \$450,000 and support 4 or more graduate students per year. Newly hired faculty transferring a research program to Mines must document this requirement at their previous organization.
4. Faculty must have maximized, or fully supported, their Summer & Winter Salary

Those NOT eligible to participate in the MRIP include:

- a. Academic Faculty currently holding an additional administrative appointment as a Dean, Department Head or other permanent or semi-permanent administrative appointment.
- b. Academic Faculty on a Leave of Absence, paid or unpaid, with the exception of an approved Sabbatical Leave.

## **2.3 PROGRAM REQUIREMENTS**

### **2.3.1 Program Period**

Eligible faculty will submit an MRIP application annually, in accordance with the procedures outlined Exhibit 1. An approved MRIP compensation adjustment will be effective for the upcoming/subsequent academic year, September 1 – August 31 (“Program Period”).

Retroactive participation or backdated applications will not be permitted. Renewals are not automatic. Continuing participating in MRIP requires the submission of an annual MRIP application.

### 2.3.2 Funding Requirements

Funding for the MRIP program must be generated by the faculty member and is subject to the following requirements:

- a. Must be external research funding. This includes externally-sponsored research, funded research, specific joint appointments or research specific gifts. These funds are designated in the financial system as funds that start with 4xxxxx or 6xxxxx. Internal funds, such as the General Fund, research professional development funds, Mines cash funded cost share, or other external funding such as auxiliary, technical services and continuing education program revenue are not eligible MRIP funding sources. In no circumstance can General Funds be substituted for external funding.
- b. Funding obligations must be received by Mines at the time of the MRIP application submission and must be sufficient to cover the MRIP Salary Component for the entire Program Period. If a faculty member has been approved for MRIP and additional funding arrives after submission but prior to September 1, the faculty member may request an updated MRIP Salary Component.
- c. Funding sources must not include any cost restrictions that would prohibit the implementation of this Program. For example, funding sources that impose salary or benefit caps that equate to institutional cost share are not eligible MRIP funding sources. All salary charges to research programs must still be compliant with the Allowable Cost Policy.

### 2.3.3 MRIP Salary Component Calculation

The MRIP Salary Component will be determined using the following considerations:

- a. The maximum MRIP Salary Component is 30% of AY Salary.
- b. The MRIP Salary Component will be constrained and determined by the available funds that meet the Funding Requirements. If eligible funding can only support a lower percentage than maximum allowable, that will govern the final MRIP calculation.
- c. The following chart should be used as guidance for determining the MRIP Salary Component:

Annual Expenditures*	Students Supported#	Anticipated MRIP Salary Component
\$750k+	≥ 6	21 - 30%
\$600 - 750k	≥ 5	11 - 20%
\$450 - 600k	≥ 4	0 - 10%

\* Average over past 3 years

# MS and PhD students

### **2.3.4 Other Considerations**

The following identifies other considerations that relate to the MRIP

- a. In order to accommodate the MRIP, faculty are permitted to budget AY days into externally-funded research proposals.
- b. Faculty's Total Compensation will be charged to identified funding sources and will be used to calculate fringe benefit charges.
- c. External consulting and other externally compensated activities will continue to be permitted in accordance with Mines policies. It is noted that MRIP participants should anticipate greater scrutiny towards consulting requests given that there will be less time available due to the commitment they are making to external funding sources.
- d. Any adjustments to AY Salary due to annual performance reviews and/or the promotion process are independent and not influenced by the MRIP.

### **3.0 RESPONSIBILITIES**

The Academic Faculty Member is responsible for generating the MRIP eligible funds, submitting an MRIP application and maintaining their eligibility status for the Program Period.

The Department Head and Dean are responsible for reviewing the MRIP application and making a recommendation to the Provost, or delegate, for approval. The Department Head and Dean are also responsible for monitoring approved MRIP applications.

The Provost, or delegate, is responsible for reviewing recommended applications and providing Mines approval. The Provost, or delegate, may grant exceptions to the requirements outlined herein. Deans and Department Heads should receive notice of any exceptions in a timely manner.

The Office of Academic Affairs is responsible for reporting faculty participation in the MRIP to the President and Mines Executive Team annually.

### **4.0 COMPLIANCE/ENFORCEMENT**

Compliance with the requirements of this program will be monitored by applicable Department Heads and Deans.

In instances of non-compliance, a faculty's participation in the MRIP will be terminated.

## 5.0 DEFINITIONS

**AY Salary:** The academic year (nine-month base) salary that is identified in a faculty contract and corresponds to a normal Academic Faculty work load, as outlined in Faculty Handbook.

**MRIP Salary Component (MSC):** Approved annual salary adjustment provided under the MRIP. The MSC is capped at 30% AY Salary.

**Total Compensation:** Total Compensation consists of a faculty's AY salary, Summer & Winter Research Salary and the MRIP Salary Component and is considered compensation under the Mines Defined-Contribution Plan (MDCP), PERA Defined Benefit Plan (PERA) and Internal Revenue Services (IRS).

**Summer & Winter Salary:** Academic Faculty are eligible to earn up to 75 days of additional compensation for research, teaching or administrative work performed over the summer and winter breaks. This salary can be provided from internal and external funding sources.

## 6.0 RESOURCES or ATTACHMENTS

[Exhibit 1 – Mines Research Incentive Program Process and Procedures](#)

*KEY WORDS: research, incentive, salary, compensation, academic faculty, MRIP*

## 7.0 HISTORY AND REVIEW CYCLE

The policy will be reviewed at least annually or as needed by the Responsible Administrative Unit.

Issued: **May 2021**

## EXHIBIT 1

### MINES RESEARCH INCENTIVE PROGRAM PROCESS and PROCEDURES

The process and procedures outlined below are set out to implement the Mines Research Incentive Program (“MRIP”). The process and procedures will be monitored and updated, as necessary.

#### 1.0 Application Process

Each spring, Academic Affairs will notify faculty of the upcoming MRIP application deadlines, provide copy of the program requirements and application packet. The application process will follow the following schedule with exact dates identified each year.

General Timeline	Step	Responsible Party
April	Application Announcement	Academic Affairs
May – June	Application Preparation	MRIP Faculty
July	Application Due to Department Heads	MRIP Faculty
Mid July	Applications Due to ORA	Department Heads
Mid July	Applications Due to Dean	ORA
End of July	Applications Due to Provost	Dean
Beginning of Aug	Approval/Denial Notifications to MRIP Faculty	Academic Affairs
Mid Aug	Appeals Due	MRIP Faculty
Late Aug	Final Determination of Appeals	Academic Affairs
Sept	Approved Applications due to Budget & Payroll	Academic Affairs

#### 2.0 Application Preparation

Faculty must fully complete and submit the MRIP Application by the deadline in order to have their application considered. Applications will include at a minimum:

- 2.1 Confirmation of Eligibility requirements
- 2.2 Available Funding. Faculty must solicit PI/Fund Manager certification for all eligible funds used for the MRIP prior to submitting their application.
- 2.3 Certification for faculty compliance in the MRIP requirements

Faculty will provide any necessary documents needed review the application. This may include annual documentation of teaching and service activities and research group support.

### **3.0 Application Review**

MRIP Applications will be reviewed by the applicable Department Head, the Office of Research Administration (ORA) and Dean.

#### **3.1 Department Head Review**

Department Head will review applications to ensure that:

- 3.1.1 The requesting faculty member meets all of the MRIP Eligibility requirements;
- 3.1.2 Graduate student and research staff support, salary threshold levels, and research equipment needs are all covered financially.

If the Department Head does **not** recommend a faculty member's application for any reason, the following process shall be followed:

1. The Department Head should meet with the faculty member to discuss the relevant concern, and seek resolution.
2. If the Department Head is not satisfied that funding requirements can be met, the Department Head will inform the Dean. If the Dean concurs, the Dean will communicate the finding to the faculty member and provide the faculty member an explanation. If the funding requirements can be reached and approved by the Department Head and Dean according to a timeline produced by the Dean and prior to the deadline for submission to the Provost, a revised proposal may be approved.

If the proposal is not endorsed by the Department Head because the faculty member does not meet the minimum eligibility criteria, the Department Head will inform the Dean. If the Dean concurs with the Department Head, they will forward the proposal, the Department Head's assessment and the Dean's assessment to the Provost.

Department Heads will provide any necessary documents needed review the application. This may include annual documentation of past reviews, teaching and service activities and research group support.

### 3.2 Office of Research Administration (ORA) Review

ORA will review funding sources identified in the MRIP application to confirm the availability of identified research funds. ORA will also confirm that the faculty's member's research portfolio is in good standing as it relates to the MRIP.

### 3.3 Dean Review

The Dean will review proposals and forward all applications with their signed recommendation to the Provost.

Deans will provide any necessary documents needed review the application. This may include annual documentation of past reviews, teaching and service activities and research group support.

## 4.0 Application Determination

All applications will be reviewed by the Provost for approval or denial. Upon notification by the Provost that a proposal has been approved, Academic Affairs will send a salary confirmation letter to the faculty member confirming the faculty member's total salary for the coming academic year. Notification of approved participation will be sent to the faculty member, Department Head, Dean, Payroll, Budget and ORA.

If an application is not approved, the Provost will provide a written explanation.

## 5.0 Appeal Process

Faculty may request a reconsideration of their MRIP application. Faculty may submit additional documentation to support their MRIP application within the identified appeal period. The Provost will determine if the additional information is sufficient to change the original determination. If the Provost determines that the application is still non-compliant with the MRIP requirements, the determination is final.

## 6.0 Monitoring and Reporting

The Office of Academic Affairs (AA) is responsible for reporting faculty participation in the MRIP to the President and Mines Executive Team annually.

AA will collect data on the following:



1. Funding: External funding sources utilized in connection with the trial are to be tracked by type research project (by sponsor) and gifts.
2. Demographic Information
  - i. Faculty rank, gender, race/ethnicity
  - ii. Faculty Salary, including base salary, summer and winter days, salary component, etc.
  - iii. Teaching loads (data both from three years before participation in MRIP (if applicable) and during the MRIP period) to evaluate teaching conducted including expected and any designated as overload. These data should be annotated with further information if the faculty member had an unusual situation leading to an abnormal teaching load prior to MRIP participation.
  - iv. Graduate student and post-doc support by department and individual (data both before and during the MRIP period).
  - v. Any other additional information that will be helpful in evaluating the effectiveness of the MRIP.

Each annual report will include an administrative assessment of relevant issues, including a review of the personnel process at various stages: Department Heads, Deans, and the Provost

Every five years, a joint task force consisting of members of the administration and the Faculty Senate will be formed to evaluate the program and recommend continuation, changes, or termination. In order for this task force to adequately evaluate the program, it will be important that all affected parties cooperate in annual requests designed to collect relevant data on the impact of the program and any challenges that arise during its implementation.