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|  | <b>Mines Research Incentive Program</b>                     |  |
|   | <b>Responsible Administrative Unit:</b><br>Academic Affairs | <b>Program Contact:</b><br>Provost<br><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 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 who meet the eligibility requirements to use external funding sources to increase their Total Compensation, in accordance with this Program.

**2.2 ELIGIBILITY**

In order to be eligible for consideration for the MRIP, faculty should meet the following criteria:

1. Be full-time tenured or tenure track faculty, as defined in the Faculty Handbook, or full-time Professors of Practice supported entirely on the General Fund during the academic year.
2. 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 university teaching expectations (considering both student credit hours and courses taught), as approved by the department head and dean.

- iii. Fulfill all research support and staffing responsibilities, including but not limited to funding current and incoming graduate students (stipend, tuition, fees, and benefits), postdoctoral positions, and staff research positions within research groups. 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 (i.e., no outstanding deliverables, no projects in unauthorized deficit, etc.).
  - vi. Comply with all Mines Policies as published on the Mines Policy Library web site.
3. Faculty must have a three-year annual average of research expenditures from external sources that is greater than \$450,000 and have a record of using those funds to fully fund the salary and tuition for the equivalent of four or more graduate students per year. This can be satisfied by fully funding four students or by partially funding multiple students, provided that the cumulative salary and tuition support for all students funded is equivalent to the amounts required to fully support four students. Newly hired faculty transferring a research program to Mines must document their satisfaction of this requirement through data at their previous organization.
  4. Faculty must document that they have fully supported their Summer and Winter Salary for the past three years. Summer and Winter Salary must fully cover the number of available days as determined by the Academic Affairs Procedures Manual. Paid and unpaid leave approved pursuant to appropriate Mines policy and procedures will count as fully supported day(s) for the purpose of this requirement.

Additional considerations regarding eligibility:

- a. The eligibility provisions set forth above will not be used to penalize the use of Family Medical Leave or Sick Leave, or otherwise discriminate based on protected categories.
- b. Faculty on approved Sabbatical Leave may still be considered if they perform research as part of their approved Sabbatical Leave plan.
- c. Faculty holding administrative positions at the Department Head level or higher are not eligible.

## **2.3 PROGRAM REQUIREMENTS**

### **2.3.1 Program Period**

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

Retroactive participation and backdated or untimely applications will not be permitted. Renewals are not automatic. Continuing participating in MRIP requires the timely submission and approval 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 with no exceptions. 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 and 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. Under no circumstances can General Funds be substituted for external funding.
- b. Funding obligations must be sufficient to cover the MRIP Salary Component for the entire Program Period and be received by Mines at the time of the MRIP application submission. Funding received after application submission will be considered in the subsequent Program Period.
- c. Funding sources must not include any cost restrictions that would prohibit the implementation of the MRIP. 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 Mines’ 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 for tenured and tenure track faculty and Professors of Practice is 30% of their Academic Year Salary.
- b. The MRIP Salary Component will be restricted to the available funds that meet the funding requirements. If eligible funding can only support a lower percentage than the maximum allowable amount identified the table below, the available funding amount 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 are other considerations that relate to the MRIP:

- a. In order to accommodate the MRIP, faculty are permitted to budget academic year days into externally funded research proposals.
- b. Faculty members' Total Compensation will be charged to identified funding sources with the appropriate fringe benefit charges.
- c. External consulting and other externally compensated activities will continue to be permitted in accordance with Mines' policies. MRIP participants should anticipate greater scrutiny with regard to consulting approval requests given that there will be less time available for consulting due to the commitment they are making to external funding sources.
- d. Any adjustments to Academic Year Salary due to annual performance reviews or the promotion review process are independent of 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. MRIP faculty members are also required to provide any additional information needed to evaluate their application or report on the program at large.

The Department Head and Dean are responsible for reviewing the MRIP application and making independent recommendations to the Provost regarding application approval. The Department Head and Dean are also responsible for monitoring approved MRIP applications.

The Provost is responsible for reviewing recommended applications and providing institutional approval.

The Office of Academic Affairs is responsible for reporting faculty participation in the MRIP to the President 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 member's participation in the MRIP may be terminated or modified to ensure compliance.

#### **5.0 DEFINITIONS**

**Academic Year Salary:** The Academic Year Salary is the base salary that is set forth in a faculty member's contract and corresponds to a normal Academic Faculty workload, as outlined in the Faculty Handbook.

**MRIP Salary Component (MSC):** Approved annual salary adjustment provided under the MRIP. The MSC ranges and caps may be found in Section 2.3.3.

**Program Period:** The 12-month period corresponding with the Academic Year plus the summer months following the AY, commencing September 1 and ending August 31.

**Total Compensation:** Total Compensation consists of a faculty member's Academic Year Salary, Summer, and Winter Salary and the MRIP Salary Component, and is considered compensation under the Mines Defined-Contribution Plan (MDCP) and PERA Defined Benefit Plan (PERA), and for tax purposes.

**Summer and 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 funded by 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.

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## EXHIBIT 1

### MINES RESEARCH INCENTIVE PROGRAM PROCEDURES

The procedures outlined below are intended to implement the Mines Research Incentive Program (“MRIP”).

#### 1.0 Application Process

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

| General Timeline | Step  | Responsible Party |
|------------------|---|-------------------|
| May              | 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 of faculty compliance with the MRIP requirements
- 2.4 If a faculty member is applying for MRIP and will be on sabbatical during the Program Period, the faculty must supply additional information on how they will be performing research during the sabbatical.

Faculty will provide any necessary documents needed for review of 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 application may be approved.

If the application 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, the application will be rejected.



Department Heads may be asked to provide any necessary documents needed to consider 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 research funds. ORA will also confirm that the faculty member's research portfolio is in good standing as it relates to the MRIP.

### 3.3 Dean Review

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

Deans may be asked to provide any necessary documents needed for consideration of the application. This may include annual documentation of past reviews, teaching and service activities and research group support.

## 4.0 Application Determination

Dean-recommended applications will be reviewed by the Provost for approval or denial. Upon notification by the Provost that an application has been approved, Academic Affairs will send a salary confirmation letter to the faculty member confirming the faculty member's total compensation 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 the applicant with a written explanation for the denial.

## 5.0 Appeal Process

Faculty may request a reconsideration of their MRIP application. Appeals must be submitted to the Provost by the deadline specified in the schedule provided to applicants. The Provost will review the appeal and issue a final decision within 10 business days of receipt of a timely appeal.

## 6.0 Monitoring and Reporting

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

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.