

UVA ENGINEERING POLICY AND PROCEDURE # 2012.2

Title: UVA Engineering Faculty Research Incentive Plan

Contact Office

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Applies to:

Tenured or tenure-track faculty with a primary appointment in a department of the UVA School of Engineering and Applied Science whose primary reporting relationship is to a department chair or the Dean.

The policy may apply to faculty with administrative appointments or other faculty with a primary appointment in the School with approval from the department chair(s) and the Dean. Faculty who hold administrative appointments reporting outside of the school, such as the dean or a vice provost or vice president, are eligible only with the prior approval of the individual to whom they report in their administrative capacity.

Reason for Policy:

To reward UVA Engineering faculty who cover a portion of their academic year salaries by generating sustained extramural income through competitively awarded grants and contracts, thereby offsetting institutional funds required for faculty salary support and increasing research funding to the School.

Definitions:

Academic Year ("AY"): September through May

Academic Year Buy Out ("AYBO"): Time during the AY in which faculty work on grants and contracts. While in AYBO, faculty salary comes from external funding sources and not from tuition-derived revenue.

Base Salary: The base contractual cycle is 9 months. The school also supports ten (10), eleven (11), and twelve (12) month contractual cycles for faculty with enough salary support from research or other approved extramural and intramural sources.

Policy Statement:

The primary purpose of this policy is to outline the criteria with which faculty can be awarded additional compensation and discretionary research funds when they buyout time during the AY to conduct research.

Eligible Faculty: All tenured and tenure-track faculty holding a primary appointment in a UVA Engineering department who voluntarily elect to apply for extramural funds are eligible to participate in the Plan. Eligibility is independent of contractual cycle. The School recognizes that this policy is limited to tenured and tenure-track faculty, but other faculty play important roles and make outstanding contributions. Such contributions can be recognized via other mechanisms, such as one-time bonuses paid by the department for outstanding contributions. [HRM-035: University Faculty Salaries and Bonuses](#)

Other eligibility requirements are:

- Faculty must be in residence at the University or on a research assignment during the Academic Year, but do not have to be in residence at the time of disbursement of the incentive cash payment. “In residence” means the faculty member is performing research at the University. “Research assignment” means that the faculty member is performing research elsewhere but is still being paid by the University.
- Faculty must attain or exceed a score of “Meets Expectations” in research and advising for the previous AY’s Annual Report.
- Faculty must have a workload distribution approved by their department chair(s) that is consistent with the workload policy of their department. Faculty jointly appointed in multiple departments must comply with the workload policies of all departments in which they are appointed.
- Faculty must serve as advisor (per SIS or Workday) for at least 3 graduate research assistants (GRAs) or postdoctoral research associates (PDRAs) in the academic year. This level of student involvement in research is the standard minimum expectation. The advising of no more than one (1) PDRA can be counted toward the 3 GRA/PDRA criterion.
- Faculty who are on sabbatical or otherwise on leave are not eligible for the time they are on sabbatical or leave.
- Faculty acting as assignees to a federal agency via the Intergovernmental Personnel Act (IPA) may not count the effort on the IPA towards an incentive.
- The grants on which the faculty member serves as a PI must not end the year in a deficit.
- The faculty member must be in good financial standing as outlined in department policies and practices.
- The faculty member must be in full compliance with the University’s Code of Ethics. (3.2 [Professional Conduct and Ethics | Office of the Executive Vice President and Provost \(virginia.edu\)](#))

Department chair(s) and the dean of the Engineering School must provide written approval to all exceptions to these eligibility requirements.

Eligible Extramural Sources: Sources of faculty salary support that will be recognized for purposes of the Plan include:

1. Sponsored research grants from federal, state, foundation, and corporate sources.
2. Sponsored grants with F&A rates of less than 25% (net of any cost share) can only count for 1 month of the faculty member's AYBO.
3. Other qualifying income from extramural sources--as determined by the Dean.

Research Incentives and Discretionary Research Funds: Eligible faculty members will receive an incentive payment and discretionary research funds for covering their AY salary from extramural sources. There is no minimum amount of AYBO required to be eligible, but \$100 is the minimum incentive cash payment threshold. In all cases, the maximum level of academic year salary support from extramural sources eligible for an incentive will be limited to four and half (4.5) months, or half of the nine (9)-month academic year.

The faculty member will receive 50% of the salary savings generated by the AYBO. By June 15 of the prior fiscal year and before the AYBO occurs, the faculty will select what percentage of the savings they will receive as an incentive payment and the balance will be deposited in their discretionary research fund at the University. In the absence of a selection by the deadline, the faculty member's share salary savings will be evenly split between the incentive payment and discretionary research fund. The research funds are to be used at their discretion and within university guidelines. These funds cannot be used to fund the faculty member's compensation or additional wages.

For example, if a faculty member covers two (2) months of the AY and requests a 50/50 split between an incentive and discretionary research funds, the incentive payment would be equal to one-half (0.5) month of salary (i.e., two (2) months of AY salary support generates one (1) month for the faculty member portion, so 50% of that portion would be one-half (0.50) month) and one-half month (0.5) of salary will be deposited into their discretionary research fund.

Procedures:

1. As part of their annual review meeting, the faculty member will submit a proposal on their effort for the coming academic year to their department chair. It is recognized that effort may change due to availability of funding over the course of the year. The proposal also will include a request on the percentage split they would like between the incentive payment and

- the contribution to their discretionary research fund should they later become eligible to participate in the Plan.
2. The Chair will approve the request making sure the request is in line with eligibility requirements listed above and document the percentage split in the faculty member's annual performance review.
 3. The incentive payment will be calculated based on the actual effort covered during the AY and will be provided as a lump sum wage payment in the October pay period. (<https://payroll.vpfinance.virginia.edu/academic-payroll-and-leave-calendar>). The discretionary research funds will be provided in a department account by December 1.
 4. If a faculty member who is participating in the Faculty Research Incentive Plan leaves the School or the University, their incentive payment will be calculated based on the salary savings generated from their AYBO through the last full month they were in residence. The incentive payment will be paid out on their last paycheck from the University. The balance of funds in the discretionary research fund will revert to the department.

Plan Review:

The Plan will be evaluated every 3 years to determine its effectiveness, its fiscal soundness, and the merits of the distribution algorithm. As necessary and appropriate, upon review and approval, the Plan will be revised to support the Contractual-Cycle policy for Faculty and other School and University policies as necessary.

Policy History:

The Engineering School introduced a *voluntary* Faculty Research Incentive Plan for the 2003-04 academic year to provide a monetary incentive to faculty with the goal of stimulating external sponsored program funding.

Originated: February 27, 2012

Effective: Fiscal Year 2013

Revised: April 6, 2012

Revised: April 8, 2014

Revised: March 23, 2015

Revised: February 27, 2017

Revised: August 25, 2021

Effective Date: September 1