SEAS POLICY AND PROCEDURE # 2012.2

Title: SEAS Faculty Research Incentive Plan

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Applies to
To participate in the School of Engineering and Applied Science ("Engineering School") Faculty Research Incentive Plan ("the Plan"), faculty members, either tenured, tenure track or general, must hold an appointment in a department of the School of Engineering and Applied Science and must be in residence at the University during the Plan year. The Dean may approve participation of administrative or other faculty in the School in consultation with the appropriate department chair and/or center director.

This policy is effective beginning with the 2017-2018 fiscal and academic years.

Reason for Policy
The Engineering School introduced a voluntary faculty research incentive plan for the 2003-04 academic year. It is reviewed periodically to determine its effectiveness, its fiscal soundness, and the merits of the distribution algorithm. The Plan was previously revised to support the contractual-cycle policy for tenured, tenure-track, and general faculty.

Policy Statement

Faculty Duties: Care must be taken by those participating in the Plan to fulfill their other responsibilities including teaching, committee work, administration, advising of undergraduate and graduate students, and the administrative duties of chairs.
**Eligible Faculty Groups:** All 12-month faculty in residence at the University during the Plan year are eligible to participate. The Dean of the Engineering School must approve all incentives and distributions under the Plan.

**Maximum Level of Incentive Bonus:** In all cases, the maximum level of academic year salary support from extramural sources eligible for an incentive will be limited to 4.5 months, i.e., half of the 9 month academic year (62.5% for the 12 month contractual-cycle year) unless specifically approved otherwise by the Dean.

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

1. Sponsored research grants from federal government, state, foundation, and corporate sources.
2. Other qualifying income from extramural sources—as determined by the Dean of the Engineering School.

The Dean of the Engineering School will make the final determination on the eligibility of all salary funds.

**Base Salary Consideration:** The base Engineering School faculty contractual-cycle is 9 months. The school also supports 10-, 11-, and 12-month contractual-cycles for faculty with sufficient salary support from research or other approved extramural and intramural sources. Faculty on a 12-month contractual-cycle are eligible for the Plan by supporting at least 0.6 months of their academic year salary (3.6 months of their total salary) from extramural sources (Exhibit A).

### Exhibit A: Required Salary Support to Participate in the Plan

<table>
<thead>
<tr>
<th>Minimum Funding SEAS%/Faculty%</th>
<th>Minimum Months Total Required Salary Support</th>
<th>Minimum Months Required Academic Year Salary Support</th>
</tr>
</thead>
<tbody>
<tr>
<td>70/30</td>
<td>3.6</td>
<td>0.6</td>
</tr>
</tbody>
</table>

**Incentive Funds:** The incentive cash payment will be provided as a lump sum wage payment. The incentive research funds will be provided in an overhead account for the faculty member. The department incentive will be provided from a source as determined by the Dean’s Office. All amounts to faculty will be provided within two months of the end of the Plan year. Departmental incentive amounts will also be provided within two months of the end of the Plan year.
**Plan Year:** The Plan Year is from July through June for faculty who were on 12-month contractual-cycles prior to the 2015-16 academic year and have continuously remained on 12-month contractual-cycles since that time. These faculty are designated as “Legacy Faculty” for purposes of the Plan and must remain on a 12-month contractual cycle to remain designated as “Legacy Faculty” as per this policy. All incentive plan payments are calculated for legacy faculty based on their salary support over the July through June time period each year. The Plan Year is from September through August for all other faculty. All incentive plan payments for these faculty are calculated based on their salary support over the September through August time period each year.

**Compliance:** The intent of the Plan is to encourage faculty to produce extramural income that can be used to support faculty salaries and hence, result in funds available to support faculty and departmental programs. In order for the Plan to be successful, it is necessary for each faculty member who elects to participate in the Plan to allocate on their grant proposals, an allotment for faculty salaries consistent with the percentage of professional effort to be devoted to the project. Once awarded, it is expected that the funds budgeted for faculty salary support will be used for this purpose.

**Plan Review:** The Plan will be evaluated periodically to determine its effectiveness, its fiscal soundness, and the merits of the distribution algorithm.

**Twelve-month Faculty:**
A 12-month contractual-cycle requires a minimum of 0.6 months of academic year (3.6 months of total year) salary support from extramural sources as per Exhibit A to qualify the faculty member for the Plan.

**Cash Incentive**
The first 1.8 months of academic year salary support will result in an end-of-year cash payment equivalent to 1/6 of this academic year salary support, e.g., 4.8 months of contractual year support provides 1.8 months of academic year support, which results in a 0.3 month cash payment. Academic year salary support greater than 1.8 months and up to a maximum of 4.5 months will result in a cash payment equivalent to 1/3 of the additional 2.7 months of academic year salary support, or an additional 0.9 month cash payment. Thus, the maximum cash payment will be equivalent to 1.2 months of salary.
Research Incentive
Faculty members who exceed the minimum required salary support to participate in the Plan will also earn discretionary funds into an overhead account that they can use to support research and other scholarly work. The amount that a faculty member can earn is equivalent to the cash payment earned. Departments, at their discretion, can provide additional funds to the faculty from the department incentive payout amount.

Department Incentive
The Dean’s Office retains the net amount up to the minimum required level for faculty to participate in the Plan (0.6 months). The net amount is that amount which remains after payment to faculty of their cash incentive with fringes and research incentive for that portion earned up to the minimum.

Departments retain the net amount of academic year salary support above the minimum required level for faculty members to participate in the Plan (0.6 months). The net amount is that amount which remains after payment to faculty of their cash incentive with fringes and research incentive for that portion earned above the minimum.

Department Chairs
SEAS Department Chairs are customarily granted 12-month contractual-cycles, with 10 months of salary on state funds and two months on research or other
extramural and intramural sources. In order to participate in the Plan, Department Chairs must provide an additional 0.6 months of Plan Year BASE salary support from approved sources. This minimum level of additional base salary support also qualifies the department chair for the Plan.

**Cash Incentive**
The first 1.8 months of additional base salary support beyond the two required months will result in an end-of-year cash payment equivalent to 1/6 of this additional amount, e.g., 3.8 months of Plan Year base salary research support provides 1.8 months of academic year base salary support, which will result in a 0.3 month base salary cash payment. Academic year base salary support greater than 1.8 months and up to a maximum of 6.5 months results in a cash payment equivalent to 1/3 of the additional 2.7 months of academic year base salary support, or an additional 0.9 month base salary cash payment. Thus, the maximum cash payment will be equivalent to 1.2 months of base salary.

**Research Incentive**
Department Chairs who exceed the additional minimum required funding level to qualify for the Plan can also earn discretionary funds into an overhead account that they can use to support research and other scholarly work. The amount that a faculty member will earn is equivalent to their cash payment earned.
Departments, at their discretion, can provide additional funds to the department chairs from the departmental incentive payout amount.

**Department Incentive**  
The Dean’s Office retains the net amount up to the minimum required level for Department Chairs who qualify for the Plan. The net amount is that amount of base salary support which remains after payment to faculty of their cash incentive with fringes and research incentive for that portion earned up to the minimum.

Departments retain the net amount of academic year salary support above the minimum required level for Department Chairs who qualify for the Plan. The net amount is that amount of base salary support which remains after payment to faculty of their cash incentive with fringes and research incentive for that portion earned above the minimum.

**Effective Date:** This policy was approved unanimously by the SEAS Leadership Council on 27 February 2017.

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Eric Loth, Chair  
SEAS Leadership Council  
27 February 2017