

- 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

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

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](#)

7.0 HISTORY AND REVIEW CYCLE

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

Issued: July 2021

Updated: May 2023

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	

- 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 cr

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