



THE UNIVERSITY OF  
**TENNESSEE**  
KNOXVILLE

**IMPLEMENTATION PLAN**

**Modified Research Incentive Funds (RIF) Distribution Pilot Program**

For Centers and Institutes Reporting to the Vice Chancellor for Research & Engagement

Effective for all Proposals Submitted in FY16 and FY17

Updated September 30, 2015 for July 1, 2015 Implementation

This modified Research Incentive Funds (RIF) distribution pilot program is intended to both incentivize new funding (not detract from base funding) that directly relates to the core mission of the centers/institutes and to remove disincentives of running proposals through centers and institutes as opposed to departments. It is a continuation of the initiative developed in FY11 by Interim Vice Chancellor for Research Hines with concurrence from Cabinet and partially implemented for FY13, FY14, and FY15 proposals. The awarded FY13, FY14, and FY15 proposals will continue under the prior guidelines. The eligible units for this modified program currently includes CEB, JIAM, JIBS, JICS, JINPA, JINS, NeuroNET, NIMBioS, and SEERC, all of which report to the Vice Chancellor for Research & Engagement (VCRE) and are interdisciplinary or transdisciplinary and convergent.

**Overall Approach:**

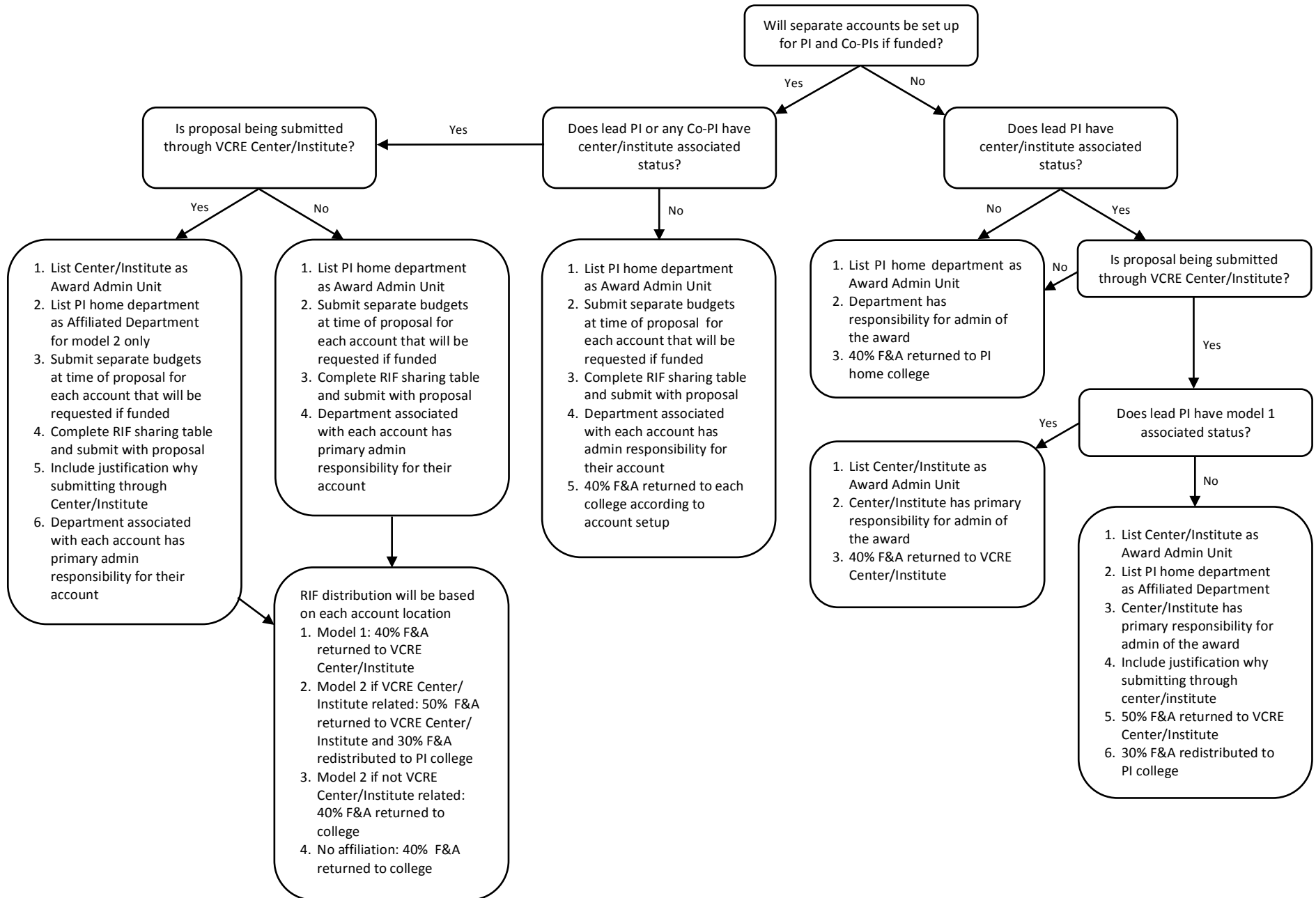
1. This is a pilot program to be run for two years (FY16 and FY17).
2. As part of the review of the efficacy of this pilot program, in May 2017, the center/institute directors will provide data to the VCRE and the Vice Chancellor for Finance and Administration and relevant deans and department heads as to the effects that this pilot program has had on generating new interdisciplinary or transdisciplinary and convergent funding applications, increased collaboration around proposals submitted, increased funding success, and leveraging of investments.
3. The intention of this review in May 2017 is to refine, improve, and decide around continuing this modified RIF distribution program beyond FY17. One issue to examine is if the VCRE center/institute can thrive with the return model identified below and meet the administrative needs of its PIs, particularly if it is an off campus center/institute (e.g., JIAM, JIBS, JICS, JINPA, JINS).
4. The RIF distribution will be based on the funds center for each account set up for an award.
5. There are two return models depending on the investigator's association with the center/institute in addition to the standard RIF distribution.
6. Model 1 Associated Status: For faculty or professional staff fully associated with a VCRE center/institute director, designated non-tenure track faculty, and designated JFOs, and other employees due to previously established exceptions. 40% of the F&A will be returned to the VCRE center/institute and remain with the VCRE center/institute for accounts setup in the VCRE center/institute funds center.
7. Model 2 Associated Status: For all other faculty or professional staff associated with a VCRE center/institute. If justification of why a proposal is being submitted through a VCRE center/institute is provided at the start of the proposal approval process and approved, 50% of the F&A will be returned by Central Administration for accounts setup in the VCRE center/institute. 20% will remain with the center/institute and 30% will be redistributed to the investigators college.
8. JIAM may negotiate variations on the redistributions to the colleges due to the varying support provided to faculty and staff located in the JIAM building.

## **FY16 Implementation Detail:**

1. TERA-PAMS or equivalent electronic system will be used to capture the designated units.
2. Investigators should submit a Request for Associated Status form to receive approval of Associated Status with a center/institute reporting to the Vice Chancellor for Research & Engagement (VCRE). The status must be renewed each year by submitting a new signed Request for Associated Status form to the Office of Research & Engagement (ORE). ORE will maintain a list of personnel with current Associated Status for each VCRE center/institute.
3. Requests for Associated Status may be submitted throughout the year.
4. Model 1 Associated Status personnel includes all faculty or professional staff fully associated with the VCRE center/institute; i.e. director, designated non-tenure track faculty, and designated JFOs that have received approval for Model 1 Associated Status. There may be other employees designated as Model 1 due to previously established exceptions.
5. Model 2 Associated Status personnel includes all other faculty or professional staff associated with the VCRE center/institute that have received approval for Model 2 Associated Status.
6. Faculty or professional staff may be associated with more than one center/institute. A Request for Associated Status form should be submitted for approval each year for each VCRE center/institute the faculty or professional staff wishes to be associated with.
7. Investigators with Associated Status may have proposals submitted through a department or VCRE center/institute.
8. Separate budgets shall be provided during the proposal approval process for each account that will be requested if funded. Separate accounts requested at the award stage but not identified during the proposal stage will need approval by all units involved since this may impact RIF distribution. Approval for separate accounts at the award stage not previously identified is unlikely to be granted for any proposal that includes direct cost share.
9. Primary administrative support will be provided by the funds center unit for each account associated with the funded project.
10. Justification of why a proposal is being submitted through the VCRE center/institute shall be included at the start of the proposal approval process in the submission notes of the proposal and approved to be eligible for the modified RIF distribution.
11. RIF distribution will be based on the funds center and investigator's status for each account setup for an award.
12. For awards that will not have separate budgets set up for various investigators:
  - a. If the proposal is not submitted through a VCRE center/institute, the PI's department should be listed as the "Award Admin Dept" and the standard 40% of F&A will be distributed to the college. The college and department will then redistribute according to the customary college/department process.
  - b. If the proposal is being submitted through a VCRE center/institute by a PI with Model 1 Associated Status, the center/institute should be listed as the "Award Admin Dept" and 40% of the F&A will be returned to the VCRE center/institute and remain with the VCRE center/institute.
  - c. If the proposal is being submitted through a VCRE center/institute by a PI with Model 2 Associated Status, the VCRE center/institute should be listed as the "Award Admin Dept," the PI home department should be listed as an "Affiliated Center/Institute" and 50% of the F&A will be returned to the VCRE center/institute. 20% of the F&A will remain with the center/institute and 30% will be redistributed to the PI's college. The college and department will then redistribute according to the customary college/department process.

13. For awards that will have separate budgets set up for various investigators:
  - a. A RIF sharing agreement shall be submitted at the start of the proposal approval process which will identify the investigator, unit, and any Associated Status applicable for that specific proposal for each account that will be set up if awarded.
  - b. If the proposal is being submitted through a VCRE center/institute, the center/institute should be listed as the "Award Admin Dept."
  - c. For any non-Associated Status investigator identified, 40% of the F&A will be distributed to the college of the investigator. The college and department will then redistribute according to the customary college/department process.
  - d. For any Model 1 investigator identified, 40% of the F&A will be distributed to the VCRE center/institute and remain with the center/institute.
  - e. For any Model 2 investigator identified, 50% of F&A will be returned to the center/institute. 20% of the F&A will remain with the center/institute and 30% will be redistributed to the investigator's college. The college and department will then redistribute according to the customary college/department process.
14. Any other RIF distributions shall be identified and agreed to during the proposal approval process.
15. Office of Sponsored Programs will check that:
  - a. Associated Status has been approved for each PI submitting a proposal with a center/institute as the "Award Admin Dept".
  - b. Justification is included of why the proposal identifies Model 2 associated status investigator.
  - c. A RIF sharing agreement is included for any proposal including multiple internal budgets that will be set up at the time of award.
16. Each fall, ORE Research Finance & Administration will provide a list to Budget & Finance of eligible accounts approved during the proposal process for the increased RIF distribution. Budget & Finance will process budget transfers to the VCRE center/institute. ORE Research Finance & Administration will then process any budget transfers to the investigator's college.
17. There may be circumstances where additional sharing of the college/department RIF is appropriate; the college or department is responsible for that processing.
18. Administration of awards for proposals submitted prior to FY16 will remain with the unit designated as the "Award Admin Unit" unless a change is approved by all parties.
19. The attached three documents will be used as part of this pilot program and include:
  - a. Modified RIF Distribution Pilot Program Flowchart
  - b. Request for Associated Status form
  - c. RIF Sharing Agreement form

**Modified RIF Distribution Pilot Program**  
Updated September 30, 2015





### RIF Sharing Agreement

Submit at the start of the proposal approval process  
for awards that will have separate accounts set up for various investigators

Proposal No:  
Proposal Title:  
Date:

Separate Accounts to be Set Up		RIF Distribution	Check One		
Role	Investigator	VCRE Center/Institute College/Department	Model 1	Model 2	No Affiliation
Lead PI					
Co-PI 1					
Co-PI 2					
Co-PI 3					
Co-PI 4					
Etc.					

Model 1: 40% of the F&A will be distributed to the VCRE center/institute and remain with the center/institute

Model 2: 50% of F&A will be returned to the center/institute. 20% of the F&A will remain with the center/institute and 30% will be redistributed to the investigator's college

No Affiliation: 40% of the F&A will be distributed to the investigator's college

Describe any additional sharing of RIF \_\_\_\_\_  
\_\_\_\_\_

Approval signatures are required by all parties including investigators, departments, colleges, directors, and ORE.

\_\_\_\_\_  
Lead PI                      Department Head                      College                      VCRE Center/Institute

\_\_\_\_\_  
Co-PI 1                      Department Head                      College                      VCRE Center/Institute

\_\_\_\_\_  
Co-PI 2                      Department Head                      College                      VCRE Center/Institute

\_\_\_\_\_  
Co-PI 3                      Department Head                      College                      VCRE Center/Institute

\_\_\_\_\_  
Co-PI 4                      Department Head                      College                      VCRE Center/Institute

\_\_\_\_\_  
Office of Research & Engagement

\_\_\_\_\_  
Date