

Cost Recovery and Grant Award Incentives Policy for the Graduate School of Education

Rationale

1. The University at Buffalo expects all units, such as GSE, to fund its programs from a budget that includes income from State operating resources, Income Fund Reimbursable (IFR), Indirect Cost Recovery (ICR) and development activities (fund raising, generally into UBF accounts).
2. State operating funds provide a base for the support of the School, but does not adequately support GSE research.
3. Research is part of a tenure or tenure-track faculty member's workload. Generally, faculty workload is defined as 40% teaching, 40% research and 20% service/advisement. To the extent possible, the cost to the University of doing this research must be recovered whenever possible.
4. External sponsors are expected to pay the full cost of research projects, which includes faculty time expended during the academic year and summer, indirect costs, other personnel, supplies and support service costs.
5. All research projects (narrative and budget documents) should be written according to SUNY Research Foundation policies and procedures. Specific attention should be paid to the "Effort Reporting Policy" found here:
http://www.rfsuny.org/media/rfsuny/policies/effort_reporting_pol.htm
6. There are GSE Faculty Awards and Funding opportunities provide faculty release time to prepare competitive, large grant applications. Faculty should consider applying to the GSE Grant Fellows Program: <http://ed.buffalo.edu/faculty-staff/awards-funding/grant-fellow-program.html>

Grandfather Clause/Pre-existing Grants

All active grants, for which proposals were submitted prior to July 1, 2020: IFR in the budget should be recovered according to the Departmental and GSE rules and policies in place at the time. At the request of the PI, and with the approval of the Department Chair, IFR may be re-budgeted according to the new (post September 1, 2006) Cost Recovery policy.

Implementation

Every proposal submitted by a Graduate School of Education faculty member where a portion of their time will be spent on work related to the grant, must contain a percentage of his/her academic year salary with appropriate fringe benefits added. These amounts are meant to be reflective of actual faculty effort on a grant and in no case should the budgeted IFR salary exceed the budgeted faculty effort. All effort will result in cost recovery IFR funds back to GSE per SUNY RF's policies and procedures. Minimum effort of 15% by a faculty member on a grant will be considered to be the equivalent of one course release.

Cost recovery funds delivered (net of the 20% salary recovery fee charged by central UB offices) to GSE will be distributed:

- 10% to the Principal Investigator (PI)
 - 10% to the PI's department account
 - 80% to the Dean's office
1. Where IFR is truly prohibited by the sponsor, the RFP or similar documents stating the prohibition must accompany the proposal.
 2. Every proposal submitted by a GSE faculty member must contain budget items for all relevant recoverable service costs such as staff support, laboratory use, computer usage, chemical waste disposal costs, communications, copy work and shop work.
 3. PI's may not automatically eliminate service costs or salary recovery when sponsors award or negotiate a budget smaller than the one proposed by the PI(s). The Dean's Office must be consulted in any negotiations.
 4. The Dean's Office, working with the Department Chairs and Sponsored Programs Administration, will develop a process for encumbering all salary and salary equivalent charges when notice of funding arrives on campus.
 5. Workload assignments are the responsibility of the department chair. When a faculty member has achieved a course buyout(s), the timing of the release will need to be worked out with the department chair and the cost of an adjunct will be covered by the Dean's office.
 6. Budgeted faculty effort on a project not covered by IFR should be shown as cost sharing on all proposals to external sponsors.
 7. This policy also applies to faculty funded with "sub-accounts" through Centers, Institutes, etc.

Use of Recovered Costs

1. The Dean's Office will use its portion of recovered funds to support adjunct costs related to grant based course buyouts and support school wide initiatives that bring value to our programs, faculty and students. Assignment of these funds is the responsibility of the Dean.
2. The Chair must use his/her recovered funds to support department programs and to assist contributors with special problems. Assignment of these funds is the responsibility of the Chair.
3. Faculty are encouraged to use their funds for furthering their research progress, including professional development opportunities and helping departmental and center research initiatives whenever possible.

Faculty Grant Award Incentives

To incentivize GSE appointed faculty in their research activities, any grants awarded with a total value of \$100,000 or more will be compensated for their success. Incentive amounts will be aligned with the award value and payable in equal installments over the life of the award. The faculty member must have an active, paid state faculty appointment with GSE to be eligible for compensation at any point during the award period. A minimum academic year effort of 10% is required to be considered for the incentive payout. Compensation will be disbursed in July for any initial award received in the prior 12 months (July through June) as well as installment payments for awards received in prior years. The incentive structure is as follows:

Total Award Value	Total Faculty Incentive Compensation
\$100,000 - \$249,999	\$3,500
\$250,000 - \$499,999	\$5,000
\$500,000 - \$999,999	\$7,500
\$1,000,000 - \$1,999,999	\$10,000
\$2,000,000 - \$2,999,999	\$15,000
\$3,000,000 or more	\$20,000

PI's will be given \$500 in professional development funds for awards less than \$100,000.