

SIU School of Medicine  
Faculty Achievement Award in Research Program  
(FAAR)

## Background

To achieve the goals of ***Southern @ 150***, the School of Medicine must substantially expand its research productivity. Growth in non-state revenue can support the hiring and retention of additional qualified research faculty, as well as space, equipment, and protected time for research for new and current faculty.

To promote achievement of the goals of ***Southern @ 150*** and to address these related issues, SIUSOM has developed the Faculty Achievement Award in Research (FAAR) program. The goals of this program are to:

- Increase research and scholarly productivity, of which the generation of external funds is an outcome
- Reward productive faculty members and provide incentives for all faculty through achievement awards that can be granted either as salary or program support
- Be entirely funded and sustained through faculty research productivity
- Increase the total external funding generated within SIUSOM, consistent with the goals of ***Southern @ 150***

This program is not intended to address or impact issues related to faculty salary parity, as it does not impact base salary. Parity issues are addressed separately through Human Resources.

### 1. General Features

- a. The program applies to all SIUSOM faculty members, regardless of rank or tenure status.
- b. In order to receive an award, a faculty member must be a Principal Investigator (PI) on a grant.
- c. If faculty member's base salary is funded from a separately-budgeted Institute account, both the Department Chair and Institute Director should be involved in the award process and should agree to appropriate award funding distribution.
- d. The program applies to all external funding that generates either indirect cost recovery or recovery of salary dollars through grant release.
- e. The program is funded through proportional allocations from the ADRFA grant-based indirect cost distribution, the departmental/institute grant-based indirect cost distribution and grant-based salary recovery. Awards are not funded from federal grants or state appropriations.
- f. Granting an achievement award signifies that the faculty member:
  1. has made contributions to the research mission of SIU School of Medicine, particularly by generating external funding, and
  2. has also made appropriate contributions to the educational and service missions of the department/institute, as defined in the position description.
- g. Achievement awards are allocated annually as either salary or support costs (OTS = other than salaries). This choice rests solely with the faculty member.
- h. The program is and must remain in compliance with relevant NIH policies and guidelines related to salary caps and consistency of policy application. Awards are not included in the determination of Institutional Base Salary.
- i. The program is and must continue to be feasible within the limits of funds currently available to support departmental/institute salaries and research.

- j. The program is being implemented as a pilot program for two years. The program will be evaluated with regard to overall functioning and attainment of goals at the end of the second fiscal year after implementation. Evaluation of the pilot program may result in changes to the program in the third year.
  - k. Taxability of awards
    1. An award paid in cash to a faculty member is taxable to the individual as additional wage income in the year that the payment is made.
    2. If the faculty member retains the option to have the award distributed as research support, the amount will also be taxable because the faculty member had the right to take the payment in cash. In that case, the faculty member could donate the amount to the lab and claim a tax deduction as a charitable contribution.
    3. If the faculty member elects to irrevocably have the amount used for research support, the amount will be allocated directly to the department/institute for that purpose. In that case, neither a taxable event nor the opportunity for a charitable donation will occur.
2. Faculty members whose external funding brings either indirect cost dollars and/or recovery of salary to SIUSOM will be eligible to receive an achievement award of an amount not to exceed the combined total of 10% of the total indirect costs generated and 10% of the salary return dollars. The maximum amount of the award can be no more than 25% of the base salary of the faculty member.
  3. Departmental Chairs/Institute Directors are authorized to confer or withhold achievement awards in association with the annual performance evaluations, based upon the previous year's research productivity and overall performance. Awards will only be made to individuals who are employed and on the SIUSOM payroll at the time the award is paid.
    - a. Granting an achievement award signifies that the faculty member 1) has generated external funding that supports the research mission of SIUSOM, and 2) has made appropriate contributions to the educational and service missions of the department/institute, as defined in the position description.
    - b. Prior to April 1 (i.e., before the beginning of the fiscal year), Department Chairs/Institute Directors will use the FAAR program compensation form to summarize in writing for the Dean the criteria for allocating or withholding faculty achievement awards.
    - c. After the close of the fiscal year, the Department Chairs/Institute Directors will submit a FAAR program work sheet that documents actual amounts awarded for the previous fiscal year.
      1. The burden of proof will reside with the Chair/Institute Director to document to the satisfaction of the Dean why an earned award should **not** be given.
      2. To withhold an award, the Chair/Institute Director must document failure by the faculty member to carry out in a competent and conscientious manner the responsibilities delineated in the position description.
      3. The Dean must agree with and approve the withholding or allocating of awards in advance of the Chair's/Institute Directors' discussion with the faculty member.
  4. The Dean determines the allocation of achievement awards for Chairs/Institute Directors based on their roles as both a faculty member and a Chair/Institute Director.
  5. The Chair, Institute Director, and/or other appropriate parties jointly determine achievement awards for faculty with cross appointments or dual affiliations. Funds for the award will be prorated to each participant department/institute/other based on existing distribution policies for indirect costs and grant release. If involved parties cannot achieve consensus on the

amount or distribution of an individual's award prior to April 1, the Dean will make the decision in consultation with the Associate Dean for Research and Faculty Affairs.

6. The program is funded through IDC allocations to both the individual departments/institutes and the ADRFA based on the proportion of IDC and grant release received by each during the preceding fiscal year. For example, based on IDC accrued during FY2007, the departments/institutes will provide 55% of the earned amount, and the ADRFA will provide 45%. This proportion will be adjusted annually based on allocations of IDC for that year.
7. This policy is subject to annual review at the discretion of the Dean.