Understanding Allocations for REC, RID, & IIA

Principal investigators (PIs), their “home unit(s)” (e.g., MLFTC, Division I, Division II), center affiliations, and allocations for Recognition (REC), Research Incentive Distribution (RID), and Investigator Incentive Award (IIA) are identified when a sponsored project proposal is developed in the Enterprise Research Administration (ERA) system. The allocation percentages identified for each investigator (PI, Co-PI, Co-I, etc.) determine the recognition each person (and their home unit and center) will receive for each sponsored project and the distribution of RID and IIA funds from funded projects.

Recognition (REC): Recognition on sponsored projects is determined by the percentage of effort each investigator commits to the project. Effort allocations must be approved by the investigators, the Division Director or supervisor for each investigator, the Research Advancement team, and the Dean (or designee) prior to final proposal submission. REC also impacts promotion and tenure; investigators with split or shared appointments should contact their division director for additional information.

Example: PI states 50% recognition on a funded $100,000 proposal. PI receives $50,000 recognition on the next annual activity report.

Research Incentive Distribution (RID): OKED distributes 20% of the actual facilities and administrative (F&A or indirect) costs recovered on sponsored projects expenses back to the college as RID. RID funds are used by the college to further research activities in the college (e.g., software, travel funds, Research Advancement staff). If a PI indicates affiliation with an ABOR-approved Center (e.g., CAST, CASGE), then 16% of the F&A costs will be distributed to the college and 4% of the costs are distributed to the center.

Example: A funded $110,000 proposal with 10% indirect would return $10,000 F&A to ASU. OKED distributes 20% of the F&A to MLFTC, or $2,000. If a center is identified for the proposal, 4% goes to the center ($400) and 16% to MLFTC ($1,600).

Investigator Incentive Awards (IIA): A portion of F&A costs are also redistributed to project investigators. OKED returns 5% of F&A costs to the investigator(s) on the project to further individual research goals. The amount of IIA received by each investigator is determined by the agreed upon contribution of effort (REC) listed in the proposal. If the total IIA is less than $100, it is distributed to the PI only. The business office maintains IIA accounts.

Example: A funded $55,000 proposal with 10% indirect would return $5,000 F&A to ASU. OKED distributes 5% of the F&A to the investigators, or $250. This amount is shared among all investigators based upon REC allocations.

NOTE: Proposals that have reduced or waived F&A may not provide any RID or IIA funds to investigators, home units, or centers.

All investigators are strongly encouraged to review the Arizona Board of Regent’s ASU Research and Sponsored Projects Manual – RSP 106 for additional policy guidance on this topic.