**Investigator Incentive Awards (IIA)**

**Frequently Asked Questions**

**What is IIA?**

Investigator Incentive Awards (IIA) is a disbursement to the Investigator for his/her share of the Facilities & Administrative (F&A) costs recovered on eligible sponsored projects.

**What is the purpose of IIA?**

IIA is intended to be used to further the research activities of Investigators who obtain externally funded projects that generate F&A. However, once the funds are received by the Investigator, he/she may use the funds at their discretion in order to advance their research activities.

**Are there any restrictions on the use of IIA funds?**

OKED no longer requires a “research-related” purpose for expenditures on IIA accounts. IIA accounts can be treated just like any other local account, with the one exception of Transfers In/Out. OKED Finance restricts deposits to or transfers in/out of IIA accounts and monitors them for compliance.

**What comprises IIA account revenue?**

IIA revenue should only be IIA incentive monies funded by OKED Finance. “Other sources” of revenue should never be deposited to IIA accounts. If an expenditure reimbursement needs to be deposited, please apply the deposit to the expense object code originally charged.

**Can IIA funds be used as cost share for sponsored accounts?**

Yes. An Investigator may choose to use his/her IIA funds as cost share for a sponsored project. The Investigator should be aware of IIA funds currently available so as not to over commit.

**Can IIA funds be transferred out to other accounts?**

No, unless it is a sponsored cost share account. Transfers out are monitored by OKED Finance to ensure compliance with this restriction.

**Can IIA funds be transferred in from other accounts?**

No, revenue deposits from sources other than that funded by OKED Finance are not allowed. Transfers in are monitored by OKED Finance to ensure compliance with this restriction.

**Can IIA funds be used to pay salaries?**

Salaries can be charged to IIA accounts as long as there are funds available to cover the salaries/wages and all related costs (ERE, Risk Mgt., Netcom, Tuition Remission, ASC).

**Can cash advances be taken out on IIA accounts?**

Under certain circumstances, such as to pay for subject payments or remote site expenses, cash advances can be taken out on IIA accounts. Normally, IIA funds are the alternate when the sponsored project does not allow or does not have enough funds available to cover these types of expenses. The [Sponsored Cash Advance Forms Packet](http://researchadmin.asu.edu/documents) should be used and the original form should be sent to OKED Finance (not ORSPA) for signature. Please refer to [RSP 503-02](http://www.asu.edu/aad/manuals/rsp/rsp503-02.html) for details on cash advances.

**Who is eligible to receive IIA?**

Any individual who is (1) a University employee and (2) identified on the ERA Allocation tab to receive a percentage of the IIA distribution.

**Can Emeritus or Adjunct Investigator’s receive IIA?**

Yes. Please notify OKED Finance when an employee’s status changes to Emeritus or Adjunct to ensure the IIA account is not prematurely closed. Employees that are Emeritus and Adjunct do not appear as “active” in Peoplesoft Job Data, so their IIA accounts need to be manually tracked by OKED Finance.

**How is IIA funded?**

IIA is distributed in two separate processes depending on when the ERA parent award (level -001) was set up. NOTE: If the parent is a dummy account (no agency/org), then the rules below will follow the child account’s Begin Date in ERA.

Manual Distribution

* For sponsored awards that were initially setup prior to 07/01/08, IIA is calculated at 5% percent of the budgeted (expected) F&A
* Funded monthly, shortly after month-end close, by OKED Finance
* Limitations: no IIA is funded if the total IIA to award is less than $100, IIA will be funded solely to the lead investigator for splits resulting in less than $100 to any co-investigator

Auto Distribution

* For sponsored awards that were initially setup on or after 07/01/08, IIA is calculated at 5% percent of actual F&A recovered (expended)
* Funded monthly, automatically during each month-end close process

**How is IIA allocated?**

IIA is allocated to Investigators based on the IIA allocation percentages approved on the ORSPA Proposal Routing and Approval Form 300. The information on the Form 300 is then entered into the ERA Allocation tab.

If changes to the IIA allocation need to be made, please refer to Work Instructions [WI-EP-130](http://researchadmin.asu.edu/procedures/wi-ep-130#Investigator_Changes). To ensure IIA is funded properly at month-end close, it is recommended that IIA allocation changes be reflected in Coues before the 3rd Thursday of the month.

**Do I need to notify OKED Finance when a new Investigator to the University is added to an award?**

Yes, please email the [OKED.IIA@asu.edu](mailto:OKED.IIA@asu.edu) inbox with the PI’s name, employee ID and cost center. An IIA account will be set up by OKED Finance prior to month-end close for any new investigators scheduled to receive IIA funding. Once the IIA account is setup, the PI will receive an email the new account information.

**How can I find an Investigator’s IIA account number?**

Please check the reports Workday, under the academic employee ID. If an IIA account for the Investigator is not listed, contact OKED Finance to confirm whether or not they have one.

**Where can I go to learn more about IIA?**

* On [OKED Finance’s website](https://research.asu.edu/finance), refer to the Investigator Incentive Awards (IIA)section.
* There is no longer an RSP policy associated with IIA. RSP 605-03 was deleted January 2013 when the “research-related” restriction was lifted.

**Where is OKED Finance located?**

OKED Finance is located in the CenterPoint building at 660 South Mill Avenue, Suite 303. Our mail code is 5611.

**Who can help me with other IIA questions?**

Please email [OKED.IIA@asu.edu](mailto:OKED.IIA@asu.edu).