

Policy for Academic Salary Buy Outs

学术薪资买断政策

This policy was adapted from the existing policy of the Trinity College of Arts and Sciences at Duke University (<https://admin.trinity.duke.edu/finance/regular-rank/research-buy-out>) and revised and approved by Duke Kunshan University Faculty, October 25, 2017.

本政策参照杜克大学圣三一文理学院现行政策起草 (<https://admin.trinity.duke.edu/finance/regular-rank/research-buy-out>)，于2017年10月25日经昆山杜克大学全体教师修订和批准。

*Approved by the Chancellors' Executive Meeting of Duke Kunshan University, April 13th, 2018
于2018年4月13日经昆山杜克大学校长办公会批准*

1. Overview 概述

The purpose of this policy is to create a mechanism for faculty members to self-fund their discretionary accounts and for the university to develop a central research account by charging academic salary plus fringe to external contracts. Subject to the required approval process, each faculty member may buy out up to 100% of his/her academic salary plus fringe using external funds.

本政策旨在建立相关机制，使得教师能够自己资助其自主账户，并且学校能够通过向外部合同收取学术薪资和附加福利来建立一个统一科研账户。完成所需的审批流程后，每个教师可以使用外部资金进行其高达100%的学术薪资和福利买断。

Use of funds from external contracts for academic salary buy outs should comply with the contractual terms on usage of such funds

用于买断学术薪资和福利的外部合同资金应符合该合同资金使用的相关条款和规定。

The academic year salary plus fringe savings may be used to pay the faculty member's summer salary at the normal rate during the summer at the end of the fiscal year. For instance, if the buy outs occur during the fiscal year of 2017/2018, the funds can be used to pay the summer salary for the period of June - August in 2018. The remaining balance after deducting the summer salary should be used to cover the indirect cost (IDC) up to the default DKU IDC rate, if the funds come from a research contract charging a lower IDC rate than the default rate. The remaining funds are divided at the end of the fiscal year, with 70% being returned to the faculty member for his/her immediate use in a faculty discretionary account and the other 30% being deposited to a central research account managed by the VCAA's office.

学年薪资和福利存款可用于在夏季该财年结束时以正常费率支付教师的夏季工资。例如，如果买断发生在 2017/2018 财年，那么资金就可用于支付在 2018 年 6 月至 8 月期间的夏季工资。如果提供资金的科研合同所收取的间接成本费率比学校的规定费率低，那么扣除夏季工资后的余额应用于支付间接成本，使其达到昆山杜克大学的规定费率水平。剩余资金在财年结束时进行分配，其中 70% 退还给教师，以便其立即用于教师的自主账户，30% 存入由学术事务副校长办公室管理的统一科研账户。

The funds in the central research account should be used for research purposes only, including (but not limited to) the following scenarios:

统一科研账户的资金仅用于研究目的，包括（但不限于）以下情况：

- Provide a bridge loan to faculty to support his/her research staff.
- Provide strategic investment to grow new research initiatives with substantial long-term impacts.
- Provide start-up research funds for new faculty hiring.
- 向教师提供过桥贷款，以支持其研究人员。
- 进行战略投资，以发展具有长远实质性影响的新研究项目。
- 为新教师聘任提供科研启动经费。

The VCAA's office will record the amount of funds contributed by each research center and use the information to rank the priority of each center. When dispersing the funds, the VCAA office will take into account both the priority and the needs for the requests submitted by different research centers.

学术事务副校长办公室将记录每个研究中心提供的资金数额，从而对每个中心的优先级进行排名。在分配资金时，学术事务副校长办公室将考量该优先级，同时兼顾各研究中心提交的申请需求。

This policy is intended primarily to encourage faculty to create bridge-funding reserves at multiple levels in order to keep research labs running smoothly during fluctuations in external funding. Whenever an emergency situation occurs, a faculty member should use his/her own discretionary funds to cover the expenses. In case his/her own discretionary funds are not sufficient, he/she may request a bridge loan from the VCAA's office but must pay off the loan as soon as he/she is able to secure sufficient external funding.

本政策旨在鼓励教师在多层次上发展桥梁资金储备，以确保科研实验室在外部资金波动期间仍能顺利运行。发生紧急情况后，教师应使用其自主资金来支付费用。如果其自主资金不足，他/她可以向学术事务副校长办公室申请过桥贷款，但一旦能够获得足够的外部资金后，必须偿还该贷款。

2. Procedure 程序

The following steps describe the detailed procedure for academic salary buy outs:

以下为学术薪资买断的具体程序步骤：

- A faculty member decides the research contract(s) to charge his/her academic salary and submits a

completed request form to the director of the research center that manages the research contract(s) and/or the faculty member is affiliated with. The request form should specify the fund code(s), salary plus fringe, the reason why funds are available for academic salary buy outs, and the time period that salary plus fringe will be charged to the contract(s). The request form can be found in Appendix 1.

教师成员确定将支付其学术薪资的科研合同，并向管理相关合同、并且/或者该教师所附属的的研究中心主任提交填好的申请表。申请表应说明专款代码，工资与福利，资金可用于学术薪资的原因，以及将向合同收取工资与福利的时间段。申请表见附录 1。

- The research center processes the request form to get the approval signature from the director of the research center, the director of the parent institute (if applicable), the director/associate director of the Research Support Office, the director of the Finance Office, and the VCAA. The Research Support Office should validate the legal allowance for academic salary buy outs based on the research contract(s).

研究中心处理申请表，得到该研究中心主任、所依托的院所的主任（如适用），科研支持办公室主任/副主任、财务部主任，以及学术事务副校长的署名审批。科研支持办公室应根据科研合同确认学术薪资买断的法定限额。

- The Finance Office will deposit the funds to a temporary account.
财务部将把资金存入一个临时账户。
- Before the end of May within the fiscal year, the faculty decides the amount of funds that should be used to pay his/her summer salary for the period of June - August.
在本财年五月底之前，教师决定用于支付其六至八月期间夏季工资的资金数额。

Appendix 1: Request Form for Academic Salary Buyouts

附录 1：学术薪资买断申请表

Faculty Name 教师姓名	
Research Center Name 研究中心名称	
Fund Code(s) 专款代码	
Salary (Per Month) 工资（每月）	
Fringe Rate 福利费率	
Time period for Buyouts 买断时间段	
Rational for Buyouts 进行买断的原因	

PI:

项目带头人

PI Name 姓名

PI Signature 签字

Research Center:

研究中心

Director Name 主任姓名

Director Signature 主任签字

Institute (if applicable):

院所（如适用）

Director Name 主任姓名

Director Signature 主任签字

Research Support Office:

科研支持办公室

(Associate) Director Name
(副) 主任姓名

(Associate) Director Signature
(副) 主任签字

Finance Office:

财务部

Director Name 主任姓名

Director Signature 主任签字

Vice Chancellor for Academic Affairs:

学术事务副校长

VCAA Name 姓名

VCAA Signature 签字