

 Category: CoM-Financial Applicable for: CoM Faculty/Providers	COLLEGE OF MEDICINE Operating Procedure/Guideline Sponsored Project Effort Effective Date: 02/13/2020 Prior Effective Date: N/A	Owner: CoM Sr. Associate Dean for Research and CoM Sr. Associate Dean for Operations & Finance Responsible Office(s): CoM Office of Research and CoM Operations & Finance Disseminated: CoM Council 02/13/2020 EDBAs 02/27/2020
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Background

The mission of research in the University of Cincinnati (UC) College of Medicine (CoM) is to combine talent, creativity and resources to understand the causes of disease. Researchers rely heavily on research funding from the National Institutes of Health (NIH) and other government agencies, foundations and associations such as the American Heart Association, as well as industry and community partners. Funds from these institutions allow the hiring of personnel and the procurement of reagents and equipment required to meet research objectives. UC requires that researchers offset a portion of their salary from research grants and contracts; these funds are also important for maintaining faculty compensation and, by extension, the financial solvency of the CoM. Therefore, these guidelines are established to (1) allow faculty to make informed decisions about how much effort to request on grants and contracts at the time of submission, and (2) to minimize conflicts or discordant expectations between the faculty and both Department and CoM leadership. The UC CoM expects departments and faculty to make reasonable efforts to adequately fund research efforts. The specific expectations are that faculty will submit grant proposals and receive grant funding to support research that will be disseminated in regional, national and international peer reviewed publications and presentations. To accomplish this expectation, it is essential the faculty salaries or effort be properly allocated on externally funded grants. These guidelines are established to (1) allow faculty to make informed decisions about how much effort to request on grants and contracts at the time of submission, and (2) to minimize conflicts or discordant expectations between the faculty and both Department and CoM leadership. Furthermore, these guidelines establish the CoM standards for research productivity and the manner in which CoM faculty and providers are to assign/allocate effort in sponsored program budgets.

Guidelines

- Base salary, which includes stipends and excludes variable and incentive compensation, is considered guaranteed compensation and must be the salary amount included in sponsored project budgets when calculating research effort.
- Dually compensated faculty and providers will use Total Professional Effort (TPE)—both UC and University of Cincinnati Physicians (UCP) base salary—when determining salary and effort in sponsored project budgets.
- All faculty and providers must utilize the same methodology for calculating base salary and effort in sponsored project budgets regardless of compensation amounts, funding levels, funding types, etc.
- All grant salary effort, including cost share, must be paid via UC. UCP may not compensate dually compensated faculty and providers for grant efforts, including cost share. An additional 5% must also be paid via UC for non-research activity.
- Practice Plan Funding (PPF) may be used for cost share and the 5% non-research activity.
- The CoM expects that all PhD research faculty will recover a minimum of 50% effort of their research efforts/compensation from external sources after their initial startup period, unless otherwise specified in a letter of offer or in correspondence from the Dean. Clinical research faculty are expected to recover a minimum of 75% effort of their research efforts/compensation from external sources after their initial startup period.

Guidelines for direct base salary assigned to grants for new grant submissions and for existing grants are as follows:

New Grant Applications

- All new grants must have budgeted salary recovery to cover the principal investigator's (PI) effort on the grant unless it is precluded by the granting agency (e.g., NSF grants) based on a 12-month cycle.
- Based on the type of grant the following minimum effort (based on total full-time effort) is recommended to be allocated to each grant:

Type of Grant	<u>Minimum</u> TPE Effort ¹	Calendar Months
NIH Research Project Grant Program or Clinical Trial Grants (R01) or R01 equivalent (i.e., P01 project)	35% ^{2, 3}	4.2 months
DOD Grants	10%	1.2 months
Directors of Program Project Grants & Cooperative Agreements	10%	1.2 months
Program Project & Center Grants (such as P01, P30, P50, R34, U01, & U54)	10% ³	1.2 months
Career Development Awards (K series, i.e., K01 & K99)	75%	9 months
NIH Developmental Research Grants (i.e., R21 with budgets less than \$100K)	10%	1.2 months
Research Training & Fellowships	0% ⁴	n/a
Foundation Grants	0-10% ⁵	0-1.2 months

¹ These are the suggested minimum amounts of effort to be allocated, but the amount allocated to a grant must be consistent with actual effort spent on the grant. Percentages reflect the percent of total full-time effort.

² Suggested 35% minimum (4.2 calendar months) for one R01 or equivalent; suggest 25% minimum (3 calendar months) if multiple R01s or equivalents. Other R grants may warrant less effort depending on the award size and written approval by the chair.

³ NCI requires higher minimums as follows: R01/U01 15%; P01 15%; R35 50%; P50 20% and P30 25%.

⁴ Does not permit effort to be funded on the grant but does generally require cost share.

⁵ Salary support is typically not permitted, but should include effort if permitted.

- For multi-PI (MPI) grants, e.g., a dual-PI application, 3 calendar months (25% effort) should be allocated for each investigator, prorated by the number of PIs on the grant. For example, if there are two PIs, then each PI would allocate 20% effort and if there are three PIs then each PI would allocate 15% effort. The formula is to reduce the PI effort by 5% for the number of PIs on the award.
- No cost share of effort is allowed on new grant applications unless specifically required by the granting agency; is a result of a compensation cap imposed by the granting agency (e.g., NIH cap); or when 1% cost share is required for a PI when the grant does not support PI salary, as required by Government Cost Compliance (GCC) and Sponsored Research Services (SRS). Written permission of the chair and dean is required in such cases.

Current Active Grants

Essentially the same rules apply for active grants as defined above independent of the type of faculty appointment held. To allow time for planning and implementing any necessary adjustments with NIH, the guidelines for existing grants will take effect *upon the next competitive renewal*. In addition to the cost share rules defined above, cost sharing is allowable on grants that are in No Cost Extension (grants that are still active, but without new budget years). Grants are generally expected to in No Cost Extension no more than one year and during the No Cost Extension effort may be reduced below the minimums defined above as agreed upon by the department chair.

Organizational units may institute policies more, but not less, restrictive than these guidelines if desired.

Related Links

CoM Internally Funded Research Operating Procedure/Guideline

Phone Contacts

CoM Operations and Finance	558-2483
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