Research and Grant Guidelines

**Important Note:** These guidelines supersede all previous versions and are effective starting with proposals submitted after **July 1, 2016**. The Dean of the College of Science & Engineering (CSE Dean) and Vice President for Research & Dean of Graduate Studies (VPR) reserve the right to amend these guidelines as circumstances warrant. These guidelines apply to all funded research grants and contracts awarded to faculty in CSE and are in place of other ORGS policies (e.g., Research Incentive Awards) that apply in other colleges.

**CSE Proposal Submission Guidelines**

The College and ORGS are required to ensure proposals are consistent with University and College policy and that commitments made to granting agencies are understood and supported by CMU. The review of grant proposals also helps the Dean and VPR understand faculty research agendas, so they can be effective advocates for faculty research and identify opportunities for external partnerships and support. These guidelines are intended to allow adequate time for these functions without hindering proposal development and submission.

**The following guidelines apply to ALL proposals regardless of project size, budget or funding agency.**

All college and ORGS commitments for matching funds and reassigned time must be approved by the Dean and the VPR in advance of submitting the proposal. Working on a proposal prior to approval is at your own risk because there is no guarantee approval will be granted. See the guidelines for match and reassigned time, below.

**Timeline:**

- **Contact the ORGS program officer** assigned to your department **as soon as you decide** to develop a proposal. All proposals must be submitted and approved through Cayuse; your program officer will create the Cayuse shell and forward the transmittal, financial disclosure, and current-pending support forms for you to complete (or update). Work with the program officer to develop the budget.

- **At least 3 weeks** (15 business days) prior to submission send an e-mail to notify the Dean, Associate Dean, Chair and ORGS program officer that you intend to submit a proposal. You should indicate the funding agency and approximate budget as well as any requirements for match, reassigned time, or reduced F&A.

- **At least 2 weeks** (10 business days) prior to submission provide a draft budget to the ORGS program officer. Then work with your program officer to develop the following required documents:
  - Cayuse transmittal form, including Financial Disclosure Statements and Current and Pending Support forms for all senior or key personnel.
  - Complete budget. After Cayuse routing is initiated, only minor changes to the budget are permitted.
  - Justification for any required departmental/college match or reassigned time.

  Your program officer will ask you to initiate the Cayuse approval process after these documents are approved and uploaded to your Cayuse shell.

- **At least 5 business days** before submission deadline:
  - Ensure the **complete proposal including final budget and draft narrative** is in Cayuse.

- **At least 1 business day** before submission deadline: provide **final proposal narrative** to the Dean and ORGS; the proposal must be in the final form for submission at this point.

The Dean, or in his absence an Associate Dean, will only approve proposals that follow the above procedure and allow adequate time for review. The PI is responsible for allowing adequate time for internal processing and review. **If this timeline is not followed you will be ineligible for university investments such as matching funds or reassigned time. IF THE FINAL NARRATIVE IS NOT PROVIDED ON TIME YOUR PROPOSAL WILL NOT BE SUBMITTED to the funding agency.**

Revised July 2016
CSE Research Incentive Funds

Faculty may utilize 75% of the net savings from academic-year salary and benefits covered by a grant or contract. Net savings is the amount remaining after replacement costs and any matching funds are deducted. Examples:

Time reassigned from teaching

- Effort that would otherwise be spent teaching is reassigned to research and charged to a grant or contract at full cost. For example, 3 hours of teaching effort is paid by a grant at 12.5% (.125 FTE) of a faculty member’s 10-month salary + benefit cost (call that X). Thus 0.125 X is the amount available in the grant.
- Replacement cost (for someone else to teach that 3-hour course) is deducted from the amount available. Replacement cost is set by the university (currently $8,468 for a 3-hour course) and cannot be negotiated. If there is no grant match, the incentive funds will be 75% of the amount remaining: (0.125 X - $8,468) x 0.75

Charging university-paid research effort

- Effort devoted to research that would otherwise be paid by the university is instead charged to a grant or contract at full cost. 75% of the salary + benefit cost paid by the grant will be available as incentive. (Summer salary paid by a grant or contract is not eligible for any incentive funding under these guidelines because no salary savings accrue to the University.)

Guidelines for spending research incentive funds

- Funds will be controlled by the college and may be reallocated if the account is inactive for a year or more.
- Funds may be used for travel, supplies and equipment in accordance with university guidelines.
- Funds may be used to pay students or temporary staff provided funding is available at the time of hire.
- Funds may NOT be used for summer-salary, supplemental pay or overload pay for regular faculty.
- Any over-spending of funds will be the responsibility of the faculty member’s department.

CSE and ORGS Guidelines for Grant Matching Funds and F&A (Indirect) Costs

- Grant proposals should request all the support needed to complete the project successfully and projects should be designed to fit within the budget limitations established by the sponsor. If the maximum award is $100,000 your scope of work should be limited to what can be accomplished for this amount.
- Match will only be provided where it is explicitly required by the funding agency’s guidelines or where there is a written policy indicating that non-required match is taken into account in funding decisions.
- Wherever possible, required match will be met from the non-committed match category (defined below) that represents support available for the project that is already provided by CMU. Non-committed match can also be listed as institutional support for programs such as NSF that prohibit committed match.
- Whenever possible, CSE and ORGS will contribute to required match for proposals with full F&A (44.5%); match for proposals with lower F&A will be decided on a case-by-case basis.
- Reassigned time (see below) is based on F&A minus any required match; thus grants that require match will qualify for fewer course releases than those with no match requirement.
- Reduced F&A will only be approved where a federal or state agency or foundation specifically limits F&A. Contracts with for-profit companies must charge the full cost of the activity including F&A and covering time of faculty, staff and students involved in the work. Requests for reduced F&A must be approved by the VPR.
- All requests for match or for reassigned time (course release; see below) must be submitted to your department chair at least 12 business days before the proposal deadline—do not contact the Dean before talking to the chair, chairs will forward all requests to the Dean.
- Chair makes decision and submits request to Dean, Dean will forward all requests to ORGS.
- Dean makes decision and, where ORGS is asked to contribute, submits request to the VPR. Dean communicates match decisions to PI and ORGS program officer.
- Regular faculty should use their non-instructional time (25% of semester effort if teaching a 9-hour load) as match, providing it is not already committed to other grants or proposals.
Non-committed match: In general this includes personnel, facilities or equipment that CMU pays or supports regardless of whether the grant is awarded. Examples: a) equipment owned by CMU that can be dedicated in part to the project, b) CMU faculty devote a larger portion of their time to the project (typically via reassigned time) so spend less time on teaching, c) CMU staff with research responsibilities devote a portion of their time to the project, and d) unrecovered F&A (indirect) where the sponsor’s cap is less than the federally negotiated rate.

Committed match: This is match that is a) specific to a particular project, and b) involves expenses that would not be incurred if a grant were not funded. Examples include summer pay for project-related work or purchasing supplies and equipment that are only required by the grant-fund project. CSE provides committed match only when all three of the following apply: 1) match is required by the sponsor; 2) the required match cannot be covered by non-committed funds; and 3) with prior approval of the Chair, Dean and Vice Provost for Research.

CSE Faculty Reassigned Time Guidelines

To promote research CSE and ORGS will, under certain circumstances, fund research reassignments for regular faculty during the academic year. “Reassigned time” indicates time, equivalent to the workload for a 3-hour course, that is reassigned from teaching to research. Although the pool of available resources is likely to vary from year to year, the Dean’s office intends this to be a long-term commitment to enhance faculty research.

Time reassigned to research will be allocated under the following system, in accordance with the guidelines below and consistent with existing policies and practices including the IGLR and FRIB cohorts. As stipulated in the CMU-FA Agreement, any adjusted workload must be recommended by the department and approved by the Dean.

1) New Faculty time: Newly hired members of the regular faculty receive 3 hours of reassignment in each of their first two semesters at CMU; some may receive more than this under the conditions of their hire.

2) Grant Supported Reassigned time: CSE and ORGS may fund reassigned time for regular (tenured or tenure-track) faculty who garner funded external research grants or contracts that include F&A costs based on the following guidelines and with the prior approval of the department chair, Dean and VPR. The cost of Grant Supported Reassigned time will be covered 50:50 by CSE and ORGS and is in place of other ORGS reassigned time policies that apply to faculty members from other colleges.

   • In all cases, reassigned time requires the written approval (via Cayuse) of the Dean and VPR before submitting the proposal. Research-reassigned time cannot be negotiated after the award of a grant.
   • Scheduling of reassigned time must be planned in conjunction with departmental teaching schedules and recommended by the department chair and approved by the Dean.
   • Allocation of reassigned time is NOT automatic. Consideration of reassigned time must take into account researcher workload and time commitments, as well as required project match and the availability of net F&A needed to pay for reassigned time.
   • Reassigned time equivalent to one 3-hour course may be provided for every $17,000 in net F&A costs (equivalent to a ~$55,000 grant with full F&A). Thus a $280,000 grant at the current full F&A rate (44.5% providing about $86,000) could provide 5 course releases.
   • For grants within CSE: net F&A costs are calculated as the total F&A cost less any match (defined below). Net = (total F&A) - match. Thus, a $115,000 grant with full F&A that required a 10% match ($11,500) would generate $23,915 in net F&A ($34,415-$11,500) and could qualify for one course release rather than two. Match for this calculation is “committed match” as defined above.
   • For grants that include faculty from other colleges: the net F&A funding available for CSE faculty for reassigned time will be: Net = [(total F&A)/number of colleges] - (CSE match + any match from ORGS attributed to CSE’s part of the project). Match for this calculation is “committed match” as defined above. Example: grant with $60,000 F&A split between CSE and one other college and requiring a match of $10,000 would be: net = $60,000/2 - $10,000 = $20,000 so would qualify for one course release.
   • Reassigned time will only be awarded in units of 1 course (3 hours). For example, a grant with $25,500 in net F&A costs will not qualify for 1½ units of reassigned time.
   • Reassigned time is awarded for individual grants and contracts; it cannot be earned by adding multiple small grants or contracts. The goal is to provide a block of time for faculty to focus on a large project.
• Reassigned time (in one-course units) can be allocated among co-investigators from CSE based on an agreement made prior to submission of the proposal.

• Grant-supported reassigned time must be taken during the active period of the grant; reassigned time is intended to allow faculty to focus on the funded research.

• Faculty who earn more reassigned time than they can use during the grant period cannot “bank” that time for future use. However, CSE and ORGS will consider requests for additional release time for grant-active faculty members as short-term bridge funds to support research between grants. These bridge funds (for reassigned time, equipment, supplies etc.) will be awarded at the discretion of the Dean and VPR based on the faculty member’s prior record and demonstrated efforts to secure new external funding.

• Reassigned time for research is contingent on departmental commitment to meet their enrollment (SCH) goals and deliver their academic programs.

• Faculty who have a reduced teaching assignment for research as part of their initial appointment are expected to obtain significant grants and are only eligible for additional research-reassigned time when they have grant support in excess of that required to provide their existing reassigned time.

3) **Department Discretionary time:** Reassigned time may also be granted to individual faculty members who are actively engaged in research, as recommended by the departments (and pending approval by the Dean). Funds to support discretionary reassigned time will be provided by the college to departments as the budget allows. Departments may supplement this category with their own discretionary funds, although the workload change must be approved by the dean regardless of funding source.

**REASSIGNED TIME GUIDELINES:**

• **Reassigned time is contingent on fulfilling all other teaching and service obligations.**

• Reassigned time will normally be granted in blocks of 3 hours, although reassignment of 4 or 5 hours may be appropriate in some instances. All reassigned time will be at least 3 hours in any semester.

• The maximum reassigned time provided for any individual in a single year is **12 hours from all CMU sources** including items 1-3 above and any other CMU programs (e.g., President and Provost’s Research Awards). Additional reassigned time in excess of the 12 hours per year can be covered through grants that pay for the faculty member’s actual (not replacement) costs. Newly hired faculty members may be awarded more than 12 hours of reassigned time during their first years at CMU, and this may also be granted to other members of faculty under highly exceptional circumstances; all exceptions require prior approval of the Dean.

• **Faculty cannot have time reassigned to research during any semester when they have volunteered to teach extra courses** (through Global Campus or otherwise) for additional pay.

• Chairs are responsible for allocating discretionary time. This time must be allocated to promote or enhance research. Although departments can establish their own criteria and processes for recommending reassigned time, the Dean must approve all workload assignments.

**Fixed-Price Contracts**

**Effective July 1, 2016, budgets for all fixed-price contracts must be approved by CSE before proposals are submitted.** Budgets for fixed-price contracts should be developed to cover the actual anticipated costs of doing the proposed work. Estimated costs of doing the work should be as realistic as possible including the cost of faculty time and benefits. Because CMU is a public educational institution, we should neither profit from nor subsidize work for external clients. **All activities relating to such contracts should be charged to the contract account:** personnel time, supplies, fees for instrument use, vehicle time, etc., and include F&A.

If there are any funds remaining in the contract account at the end of the project, half of the remaining amount, up to a maximum of $2,000 (half of $4,000), will be kept by the college in a professional development account for the PI. The excess will revert to CSE. **Examples:**

- $600 remaining: PI retains access to $300
- $4,500 remaining: PI retains access to the maximum $2,000