Research and Grant Guidelines

Intent: The following practices and procedures were developed jointly by the College of Science and Technology (CST) and the Office of Research and Sponsored programs (ORGS) to support faculty research by providing time and incentives for externally funded research projects. These guidelines supersede all previous versions and are effective starting with proposals submitted after June 1, 2015. The Dean of CST and Vice Provost for Research and Dean of Graduate Studies (VPR/DGS) reserve the right to amend these guidelines based on financial or other circumstances.

Important Note: These guidelines apply to all funded research grants and contracts awarded to faculty in CST and are in place of other ORGS policies (e.g., the Research Incentive Awards) that apply to faculty in other colleges.

CST 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/DGS 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 guidelines are also intended to streamline communications among faculty, the Dean’s office and ORGS, avoid misunderstandings and reduce the work required by faculty members to submit a proposal.

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

- All college commitments for matching funds and reassigned time must be approved by the Dean and the VPR in advance of submitting the proposal. Investing time and effort working on a proposal prior to approval is done at your own risk because there is no guarantee that approval will be granted. See the guidelines for match and reassigned time, below.
- Match and CMU-supported reassigned time are both supported by F&A (indirect) costs generated by the funded project. The exception is equipment grants (such as NSF-MRI) that do not cover F&A but require match; such matching funds may be provided by CST and ORGS with decisions made on a case-by-case basis.

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.

Accepted by ORGS and CST May 2015
• At least 5 business days before submission deadline:
  - Ensure the complete proposal including final budget and draft narrative is in Cayuse.
  - Submit the CST Grant Effort form to the dean or associate dean (contact Teresa Judge with questions).
• At least 1 business day before submission deadline: provide the final proposal narrative to ORGS.

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 and your proposal may not be submitted to the funding agency.** Proposals meeting these time guidelines will be given first priority.

**CST Research Incentive Funds**

**Purpose:** As an incentive for regular faculty to write the full cost of their time and effort into grants, faculty will be able to utilize 50% 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.

**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 $8,474 for a 3-hour course) and cannot be negotiated. If there is no grant match, the incentive funds will be half the amount remaining: (0.125 X - $8,474) x 0.5

**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. 50% 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 rather than placed in individual faculty accounts. Funds 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 undergraduate or graduate 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.

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

- The goal of CST and ORGS is to support proposals by providing required match, recognizing that in some cases financial constraints may make this impossible.
- 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.
- CST and ORGS will contribute to match for proposals with full F&A (44.5%) if a match is required by the funding agency; 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. Contract work for for-profit companies will cover the full cost of the activity including full F&A and coverage for faculty, staff and students involved in the work. All decisions related to a request for reduced F&A must be approved by the VPR/DGS.

• **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—do not contact ORGS before notifying the Dean, **Dean will forward all requests to ORGS.**

• Dean makes decision and, where ORGS is asked to contribute, submits request to the VPR/DGS. 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.

• Equipment or instrument proposals will be matched by CST (where required) up to a maximum of 50% or $25,000 (whichever is less); larger equipment matches will be considered on a case-by-case basis.

**ORGS and CST Faculty Reassigned Time Guidelines**

To promote research CST and ORGS will, under certain circumstances, fund research reassignments (sometimes called course releases) for regular faculty during the academic year. The term “reassigned time” indicates time, equivalent to the workload for a **3-hour course** that is reassigned from teaching to research efforts. 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 on the part of the college 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 (e.g., IGLR and FRIB faculty).

2) **Grant Supported Reassigned time:** CST 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/DGS. The cost of Grant Supported Reassigned time will be covered 50:50 by CST 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/DGS **before submitting the proposal.** Research-reassigned time cannot be negotiated after the award of a grant.

   • **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. Thus not all proposals will meet the criteria for reassigned time. Researchers granted this time should work with their departments to schedule their reassignment(s).

   • 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) would provide 5 course releases.

   • Net F&A costs are calculated as the total F&A cost less any match provided by the ORGS and CST (including departmental contributions, but excluding faculty time) less any share allocated to another college. **Net = (total F&A) — match — (other college share).** Thus, a $115,000 grant with full F&A that required a 10% match ($11,500) would generate $22,915 in net F&A ($34,415-$11,500) and could qualify for one course release rather than two.
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 does not qualify for 1½ units of reassigned time.

Reassigned time is independent of the length of the grant or contract. A grant generating $17,000 in F&A costs qualifies for one release regardless of whether the award is over one year or three.

Reassigned time is awarded for individual grants and contracts; it cannot be earned by adding multiple small grants and contracts. The goal of this guideline is to provide a block of time to allow a faculty member to focus on a single large project.

Reassigned time (in one-course units) can be allocated among co-investigators from CST 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. Scheduling of reassigned time must be planned in conjunction with departmental teaching schedules and recommended by the department chair and approved by the Dean.

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 (e.g., new IGLR or FRIB cohort hires) 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.

EASSIGNED 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 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.