



Campus Administrative Policy

Policy Title: Research and Creative Work Support

Policy Number: 1003 Functional Area: Academic and Faculty Affairs

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Applies to: CU Denver

A. INTRODUCTION

1. This policy lays out principles for the distribution of certain University funds to support faculty research and scholarly/creative activities (hereafter, sometimes simply called research). The purpose of research support funding is not merely to reward productive researchers, but also to provide mechanisms to strengthen the research capabilities of faculty, departments/centers, and schools/colleges.
2. Entities within the Denver Campus of the University of Colorado Denver (hereafter, called CU Denver) disperse research support funds to develop and stimulate research /creative activities using mechanisms such as startup packages for new hires, matching funding for new proposals, bridge funding, and seed money for preliminary and/or high-risk research. Schools/colleges often have borne a major responsibility in providing funds to support research. The intent of this policy is to provide the schools/colleges greater capacity and flexibility in meeting such needs.

3. Indirect cost recovery monies, also called F&A (for Facilities and Administration), are provided by external grants, based on federally negotiated rates. While these funds support the facilities and administration of the grants from which they derive, the total amount of F&A awarded pays only a part of the actual expenses the University incurs in supporting the work for which direct funding is received.

B. POLICY STATEMENT

1. Research support funds are distributed by the central administration to individual schools/colleges, their departments/centers, and PIs equal to 30% of the total F&A raised in the previous year by each unit. For example, a school or college that brings in one quarter of the campus' previous year's F&A receives one quarter of the research support funds distributed by the central administration.
2. In recognition of the evolving nature of the institution and the necessity of providing flexibility in dealing with that evolution, this policy establishes the distribution of the research support funds received from the central administration as follows: schools/colleges (60%), departments (25%), and PIs (15%). This distribution does not apply to any awards obtained before the effective date of this policy, even if such awards receive a yearly apportionment after the effective date of the policy. Research support funds for these projects will continue to be distributed under the prior agreement of 25% to school/college, 25% to departments/centers, and 50% to PIs.
3. Because of the operational complexities and different organizational structures of the CU Denver schools/colleges, the schools/colleges may choose to adjust the distribution of support. The Dean, upon consultation with the faculty of the school/college and the Vice Chancellors for Research and for Academic and Student Affairs (Provost), may adjust the distribution to better develop and stimulate research/creative activities within the school/college. Any changes to the 60/25/15 distribution must be publicized to all faculty in the school/college.

C. PRINCIPLES FOR USE OF F&A-INDEXED RESEARCH SUPPORT FUNDS

To grow CU Denver's research and creative works enterprise, the following principles must guide the provision of resources.

1. Foremost, the overall health of the institution must be carefully considered in all decisions about resource allocations.
2. Resources should be channeled to enhance the research and creative capacity of the entire institution across all types of funded and unfunded research and creative activities.
3. Individuals and units share the responsibility of supporting the research and creative

activities enterprise. The Appendix identifies representative institutional research support responsibilities and potential contributions at these various levels. It depicts the shared responsibility of all parts of the university to support research and creative activities.

4. In the best interests of the institution, the university needs to encourage and support its successful PIs/researchers/creative scholars to build on their successes. In various circumstances (e.g., when a PI loses funding for a period), the schools/colleges/departments/centers may need to provide bridge funding for a period, particularly under circumstances when external funding exigencies make funding difficult.

Notes

1. Dates of official enactment and amendments:

July 1, 2011: Adopted by Provost and Executive Vice Chancellor for Academic Affairs
2. History:
May 3, 2018: Modified to reflect a 2018 Campus-wide effort to recast and revitalize various Campus policy sites into a standardized and more coherent set of chaptered policy statements organized around the several operational divisions of the university.
Fall 2018: Not reviewed as part of the semi-annual review process due to no Permanent Vice Chancellor of Research.
3. Initial Policy Effective Date: July 1, 2011
4. Cross References/Appendix:
 - Appendix attached

Appendix

Given that this policy changes the distribution of research support funds among the schools/colleges, departments/centers, and PIs at CU Denver, it is extremely important to define as carefully as possible what funding obligations various parts of CU Denver should assume to support research and creative activities. Traditionally PIs have used research support funds distributed to them to provide a share of their support, particularly when their direct funding cannot meet their needs. The decreased allocation to PIs as a result of this policy means that administrative units must make a "best faith effort" to provide necessary resources to individual PIs, at the same time meeting the needs of researchers campus-wide. Among the administrative units of CU Denver that will necessarily need to cooperate in this "best faith effort" in such support are (1) the CU Denver central administration, (2) the relevant schools/colleges at CU Denver, and (3) relevant departments/centers along with (4) individual PIs. How each of these entities contributes in supporting research will vary with the activity being supported, although the bulk of these activities are provided by the academic units rather than individual PIs. Listed below are the examples of contributions that will lead to appropriate support of research. They naturally divide between Resources for Institutional Support (A) and Resources for Individual Support (B):

A. Resources for Institutional Support:

- a. Upkeep and upgrading of the physical infrastructure is the shared responsibility of (1) the CU Denver central administration, (2) the relevant schools/colleges at CU Denver, and the (3) relevant departments/centers.
- b. Upkeep and upgrading of institutional equipment and its maintenance is the shared responsibility of (1) the CU Denver central administration, (2) the relevant schools/colleges at CU Denver, and the (3) relevant departments/centers.
- c. Upkeep and upgrading of the service infrastructure is the shared responsibility of (1) the CU Denver central administration, (2) the relevant schools/colleges at CU Denver, (3) relevant departments/centers, and (4) individual PIs. The service infrastructure includes Accounting, the Office of Grants and Contracts, Office of Research Development and Education (ORDE), Human Resources (HR) support, Institutional Review Board (IRB) support, animal care facilities support, assistance with proposal writing, the Center for Faculty Development, etc. These are activities the CU Denver central administration and the relevant schools/colleges at CU Denver must support. The relevant schools/colleges at CU Denver must work with faculty to populate major research committees as part of the service infrastructure, such as the Institutional Review Board (IRB), Institutional Animal Care and Use Committee (IACUC), Bio-safety, etc.

B. Resources for Individual Support:

In different ways, (1) the CU Denver central administration, (2) the relevant schools/colleges at CU Denver, (3) relevant departments/centers, and (4) individual PIs

are responsible for supporting aspects of the research/creative activities enterprise at the individual level. Such support is illustrated as follows:

- a. Equipment/computer purchase and maintenance is complex. Some equipment purchase can be directly obtained from funding sources, but not all such needs can be met by external funding. A "best faith effort" among (1) the CU Denver central administration, (2) the relevant schools/colleges at CU Denver, (3) relevant departments/centers, and (4) individual PIs is necessary to meet needs that will allow (i) appropriate support of research and creative activities among faculty in the schools/colleges/centers and (ii) expansion of such activities as CU Denver's research/creative activities agenda evolves and expands.
- b. It is essential that competitive start-up funds be available to hire faculty with the potential to fuel this continuing CU Denver evolution. The responsibility here rests in a "best-faith effort" among (1) the CU Denver central administration, (2) the relevant schools/colleges at CU Denver, and the (3) relevant departments/centers.
- c. To be "ongoing" competitive, matching funding to support new funding submissions are essential. Again, the responsibility here rests in a "best faith effort" among (1) the CU Denver central administration, (2) the relevant schools/colleges at CU Denver, (3) relevant departments/centers, and (4) individual PIs.
- d. Funds for travel associated with disseminating research and creative activities and building PI reputations must be routinely available to worthy recipients. Such funding is the joint responsibility of (1) the CU Denver central administration, (2) the relevant schools/colleges at CU Denver, (3) relevant departments/centers, and (4) individual PIs.
- e. In certain cases, supplementary salary funding is necessary to adequately support individual PI efforts and productivity. A "best-faith effort" to do so is to be shared among (2) the relevant schools/colleges at CU Denver, (3) relevant departments/centers, and (4) individual PIs.
- f. Support for graduate students, particularly in the evolving research /creative activities culture at CU Denver, is a joint responsibility of (1) the CU Denver central administration, (2) the relevant schools/colleges at CU Denver, (3) relevant department s/centers, and (4) individual PIs.
- g. Unanticipated research/creative activities project expenses or budget reductions by sponsoring agencies can occur and need to be dealt with in a "best faith effort" to ensure that projects meet their goals. The responsible parties for this are (1) the CU Denver central administration, (2) the relevant schools/colleges at CU Denver, (3) relevant departments/centers, and (4) individual PIs.