

Briefing Document

For communications to Dean's Office

Date Submitted to Dean: 5 / 29 / 17

Submitted by:

Associate Dean for Research and Faculty Development

Nature of this BD: Information -OR- Decision Item?

Guidance Document for use by COE research and outreach units

Purpose:

COE faculty are increasingly engaged in interdisciplinary research that includes faculty across centers, units, and individuals at the UO. The purpose of this briefing document is to provide guidance around the allocation of grants management activities and indirect return funds when multiple units are involved.

Issue Summary:

- The COE has multiple externally-funded grants where the key personnel reside in different grant management units (GMUs), either internal to or external to the COE.
- We do not have guidance around how grant management efforts or indirect return dollars shall be divided among units when this occurs.
- COE and UO leadership encourage cross-unit, interdisciplinary collaborations.
- Other research units at the UO have a practice of sharing indirect return dollars across multiple units when investigators reside in multiple units.
- In cases where multiple GMUs are involved, it is recognized that one GMU will typically bear more responsibility than other(s) for pre- and post-award grant administration, yet key personnel across units helped to secure funding, and have distinct operational and scientific responsibilities once funding is secured.

Reviewed by (or Input Received from):

ROC, FAC

Previous Action by COE:

The COE does not currently have guidance around the allocation of GMU support and indirect return allocation for cross-center projects. Units have handled this on a case-by-case basis. COE PIs have requested guidance on this going forward.

Analysis/Discussion:

- We want to incentivize cross-center collaborations in the interest of obtaining a) larger grants, and b) grants from new public and private agencies and foundations.
- Indirect returns to GMUs lag by one year, requiring new awards to draw from indirect returns generated by other grants/revenue streams.
- There should be room for flexibility in any guidance document, given the specifics of a particular project and the roles and responsibilities of the GMU and the grant's investigators; Each GMU distributes indirect returns differently.
- It is beneficial to have guidance in place at the time of proposal development/submission, given the staff time needed in pre-award.
- It may not be feasible for existing cross-unit projects to change their current practices until new funding is awarded.

Options:

Option 1: Continue without a standard practice.

Option 2: During the pre-award phase of project development, PIs and business managers involved in cross-center grants will discuss and determine the model for pre-award GMU effort, post-award GMU effort, and use of indirect return dollars. The agreed upon model will be documented and shared with the Associate Dean for Research and Faculty Development.

Limitations, Concerns, Issues:

- It may be challenging for currently-funded grants to make changes in their indirect return distribution practices until new funding is received.
- Some PIs may change their unit affiliation over time, or affiliate with multiple GMUs/centers.
- Some centers may choose not to collaborate with others outside of their center, in order to retain more of the indirect returns.
- Centers or PIs who are not accustomed to sharing indirect returns with key personnel in other units may have concerns about cross-center sharing of workload and indirect return dollars.
- COE faculty also collaborate with non-COE units across campus, which may have their own indirect return sharing models in place that need to be considered.

Recommendations:

- Implement Option 2 for all future grants, and for all grants that are currently in the pre-award phase.
- PIs and business managers for all currently funded cross-center grants should meet to discuss and agree to a plan for indirect return sharing for the duration of the current funding. Faculty and staff FTE should serve as one source of information for determining equitable ICR share.

Timing Issues and/or Next Steps:

Many faculty have grant submissions planned for June-August 2017; having guidance in place before then would be beneficial for unit and faculty planning purposes.

Items for Future Research:

PIs on cross-unit grants that are currently funded will need to meet to discuss their post-award and indirect return plans going forward, for the duration of funding.

Attachments:

None

Decision by the Dean (including decision date):

Option 2 – approved May 30, 2017

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