IMPLEMENTATION PLAN
Modified Research Incentive Funds (RIF) Distribution Pilot Program
For Centers and Institutes Reporting to the Vice Chancellor for Research & Engagement
Effective for all Proposals Submitted in FY16 and FY17
Updated September 30, 2015 for July 1, 2015 Implementation

This modified Research Incentive Funds (RIF) distribution pilot program is intended to both incentivize new funding (not detract from base funding) that directly relates to the core mission of the centers/institutes and to remove disincentives of running proposals through centers and institutes as opposed to departments. It is a continuation of the initiative developed in FY11 by Interim Vice Chancellor for Research Hines with concurrence from Cabinet and partially implemented for FY13, FY14, and FY15 proposals. The awarded FY13, FY14, and FY15 proposals will continue under the prior guidelines. The eligible units for this modified program currently includes CEB, JIAM, JIBS, JICS, JINPA, JINS, NeuroNET, NIMBioS, and SEERC, all of which report to the Vice Chancellor for Research & Engagement (VCRE) and are interdisciplinary or transdisciplinary and convergent.

Overall Approach:

1. This is a pilot program to be run for two years (FY16 and FY17).
2. As part of the review of the efficacy of this pilot program, in May 2017, the center/institute directors will provide data to the VCRE and the Vice Chancellor for Finance and Administration and relevant deans and department heads as to the effects that this pilot program has had on generating new interdisciplinary or transdisciplinary and convergent funding applications, increased collaboration around proposals submitted, increased funding success, and leveraging of investments.
3. The intention of this review in May 2017 is to refine, improve, and decide around continuing this modified RIF distribution program beyond FY17. One issue to examine is if the VCRE center/institute can thrive with the return model identified below and meet the administrative needs of its PIs, particularly if it is an off campus center/institute (e.g., JIAM, JIBS, JICS, JINPA, JINS).
4. The RIF distribution will be based on the funds center for each account set up for an award.
5. There are two return models depending on the investigator’s association with the center/institute in addition to the standard RIF distribution.
6. Model 1 Associated Status: For faculty or professional staff fully associated with a VCRE center/institute director, designated non-tenure track faculty, and designated JFOs, and other employees due to previously established exceptions. 40% of the F&A will be returned to the VCRE center/institute and remain with the VCRE center/institute for accounts setup in the VCRE center/institute funds center.
7. Model 2 Associated Status: For all other faculty or professional staff associated with a VCRE center/institute. If justification of why a proposal is being submitted through a VCRE center/institute is provided at the start of the proposal approval process and approved, 50% of the F&A will be returned by Central Administration for accounts setup in the VCRE center/institute. 20% will remain with the center/institute and 30% will be redistributed to the investigators college.
8. JIAM may negotiate variations on the redistributions to the colleges due to the varying support provided to faculty and staff located in the JIAM building.
FY16 Implementation Detail:

1. TERA-PAMS or equivalent electronic system will be used to capture the designated units.
2. Investigators should submit a Request for Associated Status form to receive approval of Associated Status with a center/institute reporting to the Vice Chancellor for Research & Engagement (VCRE). The status must be renewed each year by submitting a new signed Request for Associated Status form to the Office of Research & Engagement (ORE). ORE will maintain a list of personnel with current Associated Status for each VCRE center/institute.
3. Requests for Associated Status may be submitted throughout the year.
4. Model 1 Associated Status personnel includes all faculty or professional staff fully associated with the VCRE center/institute; i.e. director, designated non-tenure track faculty, and designated JFOs that have received approval for Model 1 Associated Status. There may be other employees designated as Model 1 due to previously established exceptions.
5. Model 2 Associated Status personnel includes all other faculty or professional staff associated with the VCRE center/institute that have received approval for Model 2 Associated Status.
6. Faculty or professional staff may be associated with more than one center/institute. A Request for Associated Status form should be submitted for approval each year for each VCRE center/institute the faculty or professional staff wishes to be associated with.
7. Investigators with Associated Status may have proposals submitted through a department or VCRE center/institute.
8. Separate budgets shall be provided during the proposal approval process for each account that will be requested if funded. Separate accounts requested at the award stage but not identified during the proposal stage will need approval by all units involved since this may impact RIF distribution. Approval for separate accounts at the award stage not previously identified is unlikely to be granted for any proposal that includes direct cost share.
9. Primary administrative support will be provided by the funds center unit for each account associated with the funded project.
10. Justification of why a proposal is being submitted through the VCRE center/institute shall be included at the start of the proposal approval process in the submission notes of the proposal and approved to be eligible for the modified RIF distribution.
11. RIF distribution will be based on the funds center and investigator’s status for each account setup for an award.
12. For awards that will not have separate budgets set up for various investigators:
   a. If the proposal is not submitted through a VCRE center/institute, the PI’s department should be listed as the “Award Admin Dept” and the standard 40% of F&A will be distributed to the college. The college and department will then redistribute according to the customary college/department process.
   b. If the proposal is being submitted through a VCRE center/institute by a PI with Model 1 Associated Status, the center/institute should be listed as the “Award Admin Dept” and 40% of the F&A will be returned to the VCRE center/institute and remain with the VCRE center/institute.
   c. If the proposal is being submitted through a VCRE center/institute by a PI with Model 2 Associated Status, the VCRE center/institute should be listed as the “Award Admin Dept,” the PI home department should be listed as an “Affiliated Center/Institute” and 50% of the F&A will be returned to the VCRE center/institute. 20% of the F&A will remain with the center/institute and 30% will be redistributed to the PI’s college. The college and department will then redistribute according to the customary college/department process.
13. For awards that will have separate budgets set up for various investigators:
   a. A RIF sharing agreement shall be submitted at the start of the proposal approval process which will identify the investigator, unit, and any Associated Status applicable for that specific proposal for each account that will be set up if awarded.
   b. If the proposal is being submitted through a VCRE center/institute, the center/institute should be listed as the "Award Admin Dept."
   c. For any non-Associated Status investigator identified, 40% of the F&A will be distributed to the college of the investigator. The college and department will then redistribute according to the customary college/department process.
   d. For any Model 1 investigator identified, 40% of the F&A will be distributed to the VCRE center/institute and remain with the center/institute.
   e. For any Model 2 investigator identified, 50% of F&A will be returned to the center/institute. 20% of the F&A will remain with the center/institute and 30% will be redistributed to the investigator’s college. The college and department will then redistribute according to the customary college/department process.

14. Any other RIF distributions shall be identified and agreed to during the proposal approval process.

15. Office of Sponsored Programs will check that:
   a. Associated Status has been approved for each PI submitting a proposal with a center/institute as the “Award Admin Dept”.
   b. Justification is included of why the proposal identifies Model 2 associated status investigator.
   c. A RIF sharing agreement is included for any proposal including multiple internal budgets that will be set up at the time of award.

16. Each fall, ORE Research Finance & Administration will provide a list to Budget & Finance of eligible accounts approved during the proposal process for the increased RIF distribution. Budget & Finance will process budget transfers to the VCRE center/institute. ORE Research Finance & Administration will then process any budget transfers to the investigator’s college.

17. There may be circumstances where additional sharing of the college/department RIF is appropriate; the college or department is responsible for that processing.

18. Administration of awards for proposals submitted prior to FY16 will remain with the unit designated as the “Award Admin Unit” unless a change is approved by all parties.

19. The attached three documents will be used as part of this pilot program and include:
   a. Modified RIF Distribution Pilot Program Flowchart
   b. Request for Associated Status form
   c. RIF Sharing Agreement form
Modified RIF Distribution Pilot Program
Updated September 30, 2015

Will separate accounts be set up for PI and Co-PIs if funded?

Yes
No

Is proposal being submitted through VCRE Center/Institute?

Yes
No

1. List Center/Institute as Award Admin Unit
2. List PI home department as Affiliated Department for model 2 only
3. Submit separate budgets at time of proposal for each account that will be requested if funded
4. Complete RIF sharing table and submit with proposal
5. Include justification why submitting through Center/Institute
6. Department associated with each account has primary admin responsibility for their account

Does lead PI or any Co-PI have center/institute associated status?

No

1. List PI home department as Award Admin Unit
2. Submit separate budgets at time of proposal for each account that will be requested if funded
3. Complete RIF sharing table and submit with proposal
4. Department associated with each account has primary admin responsibility for their account
5. 40% F&A returned to each college according to account setup

Yes

1. List Center/Institute as Award Admin Unit
2. Center/Institute has primary responsibility for admin of the award
3. 40% F&A returned to VCRE Center/Institute

Does lead PI have model 1 associated status?

No

1. List Center/Institute as Award Admin Unit
2. List PI home department as Affiliated Department
3. Center/Institute has primary responsibility for admin of the award
4. Include justification why submitting through center/institute
5. 50% F&A returned to VCRE Center/Institute
6. 30% F&A redistributed to PI college

Yes

1. List Center/Institute as Award Admin Unit
2. Center/Institute has primary responsibility for admin of the award
3. 40% F&A returned to VCRE Center/Institute

Does PI or Co-PI have center/institute associated status?

No

1. List PI home department as Award Admin Unit
2. Submit separate budgets at time of proposal for each account that will be requested if funded
3. Complete RIF sharing table and submit with proposal
4. Department associated with each account has primary admin responsibility for their account
5. 40% F&A returned to each college according to account setup

Yes

1. List Center/Institute as Award Admin Unit
2. List PI home department as Affiliated Department
3. Center/Institute has primary responsibility for admin of the award
4. Include justification why submitting through center/institute
5. 50% F&A returned to VCRE Center/Institute
6. 30% F&A redistributed to PI college

RIF distribution will be based on each account location
1. Model 1: 40% F&A returned to VCRE Center/Institute
2. Model 2 if VCRE Center/Institute related: 50% F&A returned to VCRE Center/Institute and 30% F&A redistributed to PI college
3. Model 2 if not VCRE Center/Institute related: 40% F&A returned to college
4. No affiliation: 40% F&A returned to college

Yes

1. List Center/Institute as Award Admin Unit
2. Center/Institute has primary responsibility for admin of the award
3. 40% F&A returned to VCRE Center/Institute

No
**Request for Associated Status**

For Centers and Institutes Reporting to the Vice Chancellor for Research & Engagement

This form is to be submitted and approved each year to identify associated status with a center/institute reporting to the Vice Chancellor for Research & Engagement. Associated status may be approved in more than one center/institute. Accounts having a model 2 associated status investigator may be eligible for additional RIF under the modified RIF distribution pilot program for FY16 and FY17.

Associated Status options: CEB, JIAM, JIBS, JICS, JINPA, JINS, NeuroNET, NIMBioS, and SEERC

Request for Associated Status with (list one per form) ______________________________________

Check one:

☐ Model 1 (faculty or professional staff fully associated with center/institute, director, designated non-tenure track faculty, designated JFOs, and other employees due to previously established exceptions)

☐ Model 2 (all other faculty or professional staff)

For college use only: Describe any additional RIF distribution to be processed by the college.

__________________________________________________________________________

Investigator Signature ___________________________ Printed Name ___________________________ Date ___

Unit ___________________________ College ___________________________

Approvals:

Center/Institute Director ___________________________ Printed Name ___________________________ Date ___

Department ___________________________ Printed Name ___________________________ Date ___

College ___________________________ Printed Name ___________________________ Date ___

Office of Research & Engagement ___________________________ Printed Name ___________________________ Date ___
RIF Sharing Agreement
Submit at the start of the proposal approval process for awards that will have separate accounts set up for various investigators

Proposal No:
Proposal Title:
Date:

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<th>Separate Accounts to be Set Up</th>
<th>RIF Distribution</th>
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<tr>
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<td>VCRE Center/Institute College/Department</td>
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<td>Lead PI</td>
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<tr>
<td>Co-PI 1</td>
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<tr>
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<td></td>
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<tr>
<td>Co-PI 4</td>
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<td>Etc.</td>
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</table>

Model 1: 40% of the F&A will be distributed to the VCRE center/institute and remain with the center/institute
Model 2: 50% of F&A will be returned to the center/institute. 20% of the F&A will remain with the center/institute and 30% will be redistributed to the investigator's college
No Affiliation: 40% of the F&A will be distributed to the investigator's college

Describe any additional sharing of RIF

Approval signatures are required by all parties including investigators, departments, colleges, directors, and ORE.

<table>
<thead>
<tr>
<th>Lead PI</th>
<th>Department Head</th>
<th>College</th>
<th>VCRE Center/Institute</th>
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<tbody>
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<td>College</td>
<td>VCRE Center/Institute</td>
</tr>
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<td>Department Head</td>
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<td>VCRE Center/Institute</td>
</tr>
</tbody>
</table>

Office of Research & Engagement
Date