



**Departmental Policy on investigators' effort for sponsored programs
5/2/17**

Goal of Policy:

In an effort to assist investigators preparing budgets for sponsored studies, to ensure fair use of departmental resources, and to help balance department budget by minimizing cost-sharing, the Department of Pediatrics is putting forth a policy regarding investigators' effort for sponsored programs. This policy is to be followed for all projects with PI(s) or investigators affiliated with the UIC Department of Pediatrics.

Policy:

When budget for a program or project is being prepared, actual effort and corresponding salary/fringes projected for the investigators must be included. Effort that is expended by investigator, but is not reimbursed by sponsor, is considered cost-sharing and uses department resources. Cost-sharing is to be minimized as much as possible and requires departmental approval.

Unless not allowed by sponsor guidelines, minimum level of effort budgeted **for PI/co-PI** should be as follow:

- NIH, NSF, DoD, PCORI, etc: 15-20% *minimum*.
- Industry-sponsored trials: 5-10% *minimum*.

Make sure to include time for administrative tasks (i.e., supervision of study, communication with sponsor) and for performance of study (such as conducting physical examinations for research, writing research notes)

Level of effort listed on budget for an **investigator (co-I)** must reflect actual involvement and effort in the project. The following minima are recommended and may vary based on investigator's role in project:

- NIH, NSF, DoD, PCORI, etc: 5-10%
- Industry-sponsored trials: 3-5%

Note that very small levels of effort (1-2%) correspond to approximately 20-40 hours per year and must be reserved for studies in which investigators have minimal involvement (e.g., assist with design/analysis/interpretation of results, conduct of a few, well-defined procedures, etc.).

Note: Salary caps are used by some sponsors and limit the direct salary (also known as salary or institutional base salary) used for calculation of requested funds. If sponsor uses a salary cap and an investigator's base salary exceeds this cap, the total salary request must still be based on a full-time staff appointment. In practice, this means that actual effort will be reflected on budget, but salary support

requested from sponsor will be calculated using salary cap. As of January 8, 2017, NIH salary cap is set at \$187,000.

Waivers:

Waivers for deviation from above-stated policy will have to be thoroughly justified. Waiver requests will be reviewed by grant office and Director of Administrative Operations and allowed/not allowed on a case by case basis.

Prior to requesting waiver, level of effort will have to be discussed with grant office and with Director of Administrative Operations, to ensure availability and proper allocation of resources. Effort level will have to be justified on budget justification and detailed list of activities to be performed (with estimate of time) will have to be provided.

All submissions and pre-submissions that involve budget information or require institutional endorsement must be routed to the ORS through the Department Business Office and obtain institutional approval *prior* to submission to sponsor/funder.

No application, regardless of amount of funding requested, should be submitted without approval.