

**University of Puerto Rico Comprehensive Cancer Center
Principal Investigator Research Productivity Incentives Policy**

A. PURPOSE

- B.** The purpose of this policy is to define the Research Productivity Incentives Program for Principal Investigators managing grants and contracts in the University of Puerto Rico Comprehensive Cancer Center (UPR-CCC) and describe the process for establishing and maintaining a fair and equitable program for all researchers with external funding through UPR-CCC. The goals of the Research Productivity Incentives Program include attracting and retaining more competitive and prolific researchers who will conduct projects during the Center's calendar year, as part of their regular workload; providing a tangible reward for faculty who are active in funded research or grant-seeking efforts, thus encouraging continued participation in the funded research and grant enterprise; encouraging previously inactive faculty to conduct funded research and write grants, thus increasing the number of faculty involved in externally funded projects; and, increasing external funding to desired levels in accordance with institutional goals.

SCOPE

This policy covers all grants, contracts, subawards or cooperative agreement funded by a government agency, private industry, foundation or individual that reimburses salary compensation for the Principal Investigator/Project Director commensurate to the time and effort committed to the Project/Program. To be eligible for the incentive program, a grant or contract may not include provisions for voluntary cost sharing or voluntary in-kind matching.

C. APPLICABILITY

This policy applies to all faculty members with a Principal Investigator/Co Principal Investigator/Project Director role in the Comprehensive Cancer Center supervising a grant, contract, subaward or cooperative agreement funded by a government agency, private industry, foundation or individual that reimburses salary compensation for the Principal Investigator/Project Director commensurate to the time and effort committed to the Project/Program.

D. DEFINITIONS:

Research Productivity Incentive – An amount paid to a Principal Investigator, Co-Principal Investigator and/or Project Director that has been successful in procuring and

executing externally funded programs. These supplements are temporary and paid from institutional accounts. The amount of the Incentive will be determined according to the amount of funding approved by the Sponsor for Principal Investigator/Project Director salary support. This incentive will be paid on a monthly basis for the duration of the project. This incentive is not part of the institutional base salary of the Principal Investigator/Project Director.

Principal Investigator/Co-Principal Investigator/Project Director (PI/PD) – an individual with primary responsibility for achieving the technical success of a project, while also complying with the financial and administrative policies and regulations associated with the award. PI/PD have the appropriate level of authority and responsibility to direct the project or program supported by a grant, contract or subaward. The individual is responsible and accountable to the sponsoring organization, or, as appropriate, to a pass-through organization, for the proper conduct of the project or program including the submission of all required reports. The participation of more than one identified PD/PI on an application or award diminishes neither the responsibility nor the accountability of any individual PD/PI.

Institutional Base Salary (IBS) – Annual remuneration that the Center or other institution in collaborative agreement with the Center, pays to faculty researchers for the individual's total professional effort (100%), independently of whether his/her time is devoted to teaching, research, administration, creative activity, service, clinical activities, other activities and/or a combination of these, and in conformity with the provisions and general rules of the UPR-CCC and other institutions with collaborative agreements with the Center. IBS excludes one time payments, differentials, incentives or bonuses (not involving time and effort), additional compensation based on work overload, non-recurrent incidental work, or additional summer work (i.e. summer salaries when the academic year is less than 12 months in institutions with collaborative agreements with the Center) and any income that an individual is permitted to earn outside of their duties with the UPR-CCC and other institutions in collaborative agreements with the Center.

Total Professional Effort (TPE) – time devoted by a researcher in which his/her effort is expressed as a percentage. This effort which includes activities for which an individual receives Center remuneration and/or work performed in other institutions with collaborative agreements with the Center includes work performed on sponsored projects, whether reimbursed by a sponsor or Center funded. The TPE percent of the researcher in any case will not exceed 100%. The term for the Total Professional Effort at UPR-CCC is defined as 12 calendar months or the term defined at the researcher's primary institution.

Sponsored Program/Project (SPP) – an activity supported by external sources to the Center, which is separately funded, accounted, and governed by specific terms and conditions of the sponsoring entity. Programs or Projects can be in the form of grants, contracts or cooperative agreements for research, service, training or the acquisition of equipment.

Research Productivity Incentive Program (RPIP) – Institutional program in which the Center compensates a researcher procuring and conducting a sponsored program or project.

Calendar Year - The term in which UPR-CCC divides its annual regular work load.

E. RESPONSIBILITIES

Principal Investigator/Project Director: Complete Research Productivity Incentives Request Form according to the procedures outlined in this policy.

Office of Sponsored Programs: Evaluate and verify the Research Productivity Incentives Request for accuracy and forward forms to Finance Department.

Finance Department: Certifies availability of funds and forwards request to Executive Director for final evaluation and approval or denial of request.

F. POLICY:

With the purpose of attracting and retaining more competitive and productive investigators to conduct research and other service-oriented projects for prevention and education at UPR-CCC, PI/PDs may receive **a research productivity incentive consistent with the salary support costs recovered sponsored programs/projects and his/her IBS**, provided that:

- The researcher complies with all commitments incurred with the sponsored project, the sponsoring entity, as well as complying with all institutional (CCC-UPR) processes, regulations and policies;
- The grant or contract may not include provisions for voluntary cost sharing or voluntary in-kind matching. No-cost extensions are ineligible as well;
- The external sponsor must provide the maximum F&A allowed by the sponsor's formal policy.
- The sponsor that pays the corresponding part of the SBI of the PI/PD must not have norms or policies that prevent the payment of the incentive to the eligible PI/PD.

The Research Productivity Incentive will correspond to 100% of the funds allocated for the PI/PD salary support in the approved sponsored program budget, as evidenced in the Notice of Award or Contract, up to a maximum of 50% of his/her IBS.

The Research Productivity Incentive will be paid on a monthly basis. These incentives are temporary, and are paid commensurately to the amount of funding approved in the Notice of Award for PI/PD salary support in the project. The CCC-UPR reserves the right to terminate or suspend a Research Productivity Incentive should the recipient cease to meet the eligibility criteria. It also reserves the right to recover incentives paid out on the basis of fraudulent or inaccurate information, or in error.

In the case of collaborative efforts, the Research Productivity Incentive will be calculated from the costs recovered by UPR-CCC only. When a project has multiple PI/PDs and the program budget does not allocate salary support funds amongst them, the Research Productivity Incentive will be distributed according to an agreed-on division among the PI/PDs.

As a result of this Policy, the applicable federal costing principles and regulations and the terms and conditions of sponsoring entities and/or the restrictions of the funding source, the researcher's IBS may not be increased as a result of replacing organizational salary funds with funding from external entities received for the Faculty's percent effort devoted to a specific sponsored project. Furthermore, unless there is prior approval by the sponsor, charges of a PI/PD's salary to an award must not exceed the proportionate share of the IBS for the period during which the PI/PD worked on the award. It is also provided that the current definition of IBS does not modify the standards to determine salary for the purpose of the 401K contributions or the payment of excess accumulated amounts of ordinary licenses, nor the payments made in cases of separation of an employee from service due to retirement, resignation, dismissal, or death. Research Productivity Incentives are not part of the base salary of the PI/PD.

G. PROCEDURES:

This compensation will be paid based on availability of funds. The corresponding procedure must be followed to justify the eligibility for the supplemental compensation

1. Incentives Request

Completion of the Research Incentives Request Form with the following supporting documentation:

- a. Abstract or Project Summary of the sponsored program or project conducted;


- b. Evidence of date submission of required reports according to sponsor's deadline;
- c. Copy of the Internal Transmittal Form signed by all parties;
- d. Copy of the approved Notice of Award or contract;
- e. Copy of approved sponsored program budget.

Deliver the Form and supporting documentation to the Director of Sponsored Programs for evaluation.

2. Incentives Approval

- a. The Office of Sponsored Program Director will verify the Incentives Request Form against sponsored program information on file.
- b. The OSP Director certifies the information and forwards the request to the Director of the Finance Department for certification of availability of funds.
- c. The Executive Director evaluates the request and supporting certifications, and, approves or denies the incentive request.
- d. The PI/PD is notified of the request outcome, via letter.
- e. The PI/PD has the right to appeal such decision in writing to the Executive Director within 14 calendar days of receiving notification of the outcome of the request. The Executive Director shall evaluate the appeal and issue a decision, which shall be final and not subject to further appeal.

This policy is recommended by the Research and Education Support Division Director on:


 Research & Education Support
 Division Director

Date: 9/14/2018

This policy is approved by the UPRCCC's Executive Director on:


 Executive Director

Date: 9/19/2018