

FY2023 Research Recognition Award Plan

	Eligibility Criteria	Amount of Payout
DIRECT Research expenditures during the previous fiscal year	<ul style="list-style-type: none"> 75% Direct effort supported by external research awarded to Duke, cost share, or paid administrative roles (does not apply to K awardees) Direct research expenditures on research fund codes (Tier 5 codes only) and owned by the Department of Medicine (DOM) 	<ul style="list-style-type: none"> Principle Investigator (PI) qualifies for \$1,250 for every \$100K of direct expenditures, up to a maximum of \$7,500, which equates to \$600K of direct expenditures Career Development Awards (i.e., K-Awards) qualify in year two and beyond
INDIRECTS (F&A) recovery during the previous fiscal year	<ul style="list-style-type: none"> 75% of Duke effort supported by external research awarded, cost share, or paid administrative roles Indirect research expenditures on research fund codes (Tier 5 codes only) and owned by DOM 	<ul style="list-style-type: none"> PI qualifies for \$1,250 for every \$50K of indirects, up to a maximum payout of \$7,500, which equates to \$300K of indirects
NIH PROPOSALS Research grants submitted during the fiscal year	<ul style="list-style-type: none"> New proposals only; excludes extensions or recompetes Research must be owned by DOM 	<ul style="list-style-type: none"> PI qualifies for \$1,500 for each grant proposal submitted to NIH
NON-NIH PROPOSALS submitted in the fiscal year	<ul style="list-style-type: none"> New proposals only; excludes extensions or recompetes Research must be owned by DOM 	PI qualifies as follows: <ul style="list-style-type: none"> \$500 award for new proposals totaling > \$500K annually \$1,000 award for new proposals totaling > \$1M annually \$1,500 award for new proposals totaling > \$2M annually
GRANT LEADERSHIP of major research projects during the fiscal year	<ul style="list-style-type: none"> Faculty who serve as PI on large, complex grants (SCOR, PPG, Multi-Center Trials, T32) Grants must be owned by DOM 	<ul style="list-style-type: none"> PI qualifies for \$1,000 for each year the award is active, up to a maximum of \$1,000 total per year cumulative for all projects No-Cost Extension year(s) do not apply
TEAM SCIENCE Leadership on Multi-PI grants awarded within the fiscal year	<ul style="list-style-type: none"> PI on a multi-PI research project Grant must be owned by DOM 	<ul style="list-style-type: none"> PI qualifies for \$1,000 in the initial award year for a maximum of \$1,000. total per year cumulative for all projects
CAREER DEVELOPMENT AWARD Receipt of a CDA during the fiscal year	<ul style="list-style-type: none"> PI on a CDA such as the NIH K08, K23, K24, or equivalent from the VA or other organization Research must be owned by DOM Division Chief must approve non-NIH, K-equivalent awards 	<ul style="list-style-type: none"> PI qualifies for \$2,500 in the initial award year only
NIH R01 Award Receipt of first independent NIH R01 award	<ul style="list-style-type: none"> PI who receives an NIH R01 Award R01 must be submitted and owned by DOM 	<ul style="list-style-type: none"> PI qualifies for \$2,500 in the initial award year only

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Additional Requirements

1. The Principle Investigator (PI) must be in good standing with the university.
2. PI must have completed all required training in the fiscal year.
3. Payout is based only on those projects for which DOM faculty is the PI.
4. Discretionary and other PI-owned fund code deficits must be resolved before award dollars are paid.
5. Division Chiefs are covered under a different plan and are therefore not eligible.
6. Any significant compliance findings from internal and external research reviews (e.g., human or animal subjects, research integrity/misconduct, conflict of interest, etc.) will result in ineligibility.
7. The maximum annual individual payout is \$20,000 and the minimum is \$500. As in prior years, the total amount paid out across the department is subject to a cap of \$625,000.
8. Awards are typically distributed in October. This allows time for the prior fiscal year data to be finalized and for all calculations to be prepared.
9. Awards are paid to the investigator and are not considered part of an individual's Institutional Base Salary (IBS¹).
10. Any proposal waiver request attributable to the PI will reduce the total award payment by 5%.
11. Failure to certify effort² or complete required training by the internal DOM deadline by the PI, or any faculty or staff paid on the PI's fund codes, will reduce the total award payment by 5%.
12. The amount of any UIR overdraft (unacceptable institutional risk) will be subtracted from the final award payout. After UIR overdrafts, additional reductions of up to 20% may be incurred if, for example, the PI fails to certify effort or complete RCR training.

¹ IBS is defined as "the annual compensation paid by an Institution of Higher Education (IHE) for an individual's appointment, whether that individual's time is spent on research, instruction, administration, or other activities. IBS excludes any income that an individual earns outside of duties performed for the IHE. Unless there is prior approval by the Federal awarding agency, charges of a faculty member's salary to a Federal award must not exceed the proportionate share of the IBS for the period during which the faculty member worked on the award."

³Department of Medicine's internal effort certification deadline is typically two (2) weeks before the institutional published deadline.

² Effort must be an accurate reflection of the PI's time expended in all mission areas. Department of Medicine's internal effort certification deadline is typically two (2) weeks before the institutional published deadline.