



STARTUP PROGRAM & BUDGET GUIDELINES

GENERAL GUIDELINES

In the current economic climate, budgets are shrinking, or at best, are static, and funding of startup packages limits funding available for other programs. Accordingly, budget requests should include only what is necessary to establish the candidate's research program and position the recipient to be successful in attracting extramural funding. The assistant vice chancellor for research development (AVC RD) will work closely with the respective associate dean for research (ADR) and department chair to ensure that startup budgets accurately reflect the candidate's needs.

As a rule of thumb, the level of startup funding distributed over a three-year period should not exceed the anticipated level of annual extramural funding for the startup recipient while they are at ECU. The amount of startup funds requested should reflect the average level of annual extramural funding in the discipline as evidenced by funding records of existing faculty in the department (e.g., if the average NIH grant in biomedical sciences is \$200,000/yr. for three years, and investigators in the Department of Physiology have a record of receiving \$200,000 extramural funding/yr./investigator, then the startup package should not exceed \$200,000/yr. for three years. The REDE return on investment is through recovery of startup funds via the F&A from the faculty member's extramural awards.

At least 30% of the package must be derived from the college or department.

Up to 70% of the package can be requested from REDE.

BUDGET RESTRICTIONS. REDE will not contribute to the following, although departments and colleges/schools can:

- Academic year faculty salary
- Summer salary
- Financial support for external collaborators
- Effort reassignment/course buyout
- Travel to meetings for dissemination of results
- General purpose computers and software
- Relocation expenses
- Office equipment and furniture
- Support for graduate students – Departments and programs are encouraged to support the project by utilizing available stipends/assistantships/fellowships coming to them from the Graduate School. If support is requested, the level should be consistent with department standards for student compensation. These will be listed separately on the startup form.

ACCOUNTABILITY

1. Acceptance of startup funds by the college, department, and faculty member carries with it an expectation that the recipient will participate in career development activities focused on building a strong research program and being competitive for extramural funding to help sustain the research enterprise at ECU.
2. Recipients will be required to document appropriate use of awarded startup funds and good faith efforts to establish active research programs and seek extramural funding to sustain the research after the startup period. The following reports to REDE are required:
 - a. Mid-term; due 18 months after startup initiation; used to authorize third year of funding;
 - b. Final; due at the end of the startup period.
3. Accountability of the department to REDE will be based on the aggregated productivity of recipients in that unit, thereby taking into consideration that there are different strengths of faculty members, a broad array of activities and responsibilities within an academic department, and variable assignments of effort necessary to accomplish the departmental mission. Using institutional records, REDE will document the number of proposals for extramural funding that are generated by current and past startup recipients in the department; the amount of extramural funding awarded to current and past startup recipients during their time at ECU compared to the startup funds expended; amount of state-appropriated salary dollars offset by extramural funds to current and past startup recipients, and the amount of F&A recovered in extramural funding. Publication, presentation, and productivity will also be considered. The aggregate data will be taken into consideration when REDE is asked to make further investments in the department.
4. The AVC RD must be informed immediately by the chair or ADR of any changes in the faculty member's employment status during the startup funding period. Neither faculty nor department may use unexpended startup funds if faculty is leaving ECU; these funds must be returned to REDE.

Important Note: Funding comes in part from state appropriations that do not carry over to the next fiscal year. Thus, all funds must be expended in the fiscal year that they are awarded (i.e., all items budgeted must be received, invoiced, and PAID by mid-June). Funds not expended will be returned to the state per state regulations. In the event that a recipient is unable to expend funds in the year they are awarded, please contact the AVC RD as early as possible in the fiscal year to discuss the most appropriate reallocation of the residual funds.

ROLES AND RESPONSIBILITIES

1. Faculty Member

a. Pre-award

- i. Provide the department chair with a current CV, brief research proposal, and proposed budget; and
- ii. Negotiate a final package with the chair.

b. Post-award

- i. Conduct the research project
- ii. Discuss research progress with the chair as part of the faculty annual review process
- iii. Submit the required startup reports to the department chair
- iv. Participate in orientation and research development activities, forums, and review meetings for startup recipients
- v. Allocate project expenses to their startup account
- vi. Review balances and expenditures at least monthly to ensure all transactions are accurate and properly classified. If delegated, the monthly review documentation should be provided to the faculty member for their review
- vii. Submit requests for changes in the scope of work or budget to the department chair

2. Department Chair

a. Pre-award

- i. Communicate and negotiate with the faculty member
- ii. Review, negotiate revisions with the faculty member, and approve the startup request, taking into account the potential for the faculty member to receive extramural funding commensurate with the level of startup funding requested
- iii. Ensure the faculty member has access to the facilities necessary for their research program
- iv. Submit the startup proposal to the ADR and respond to subsequent feedback

b. Post-award

- i. Convey award information to the candidate
- ii. Ensure startup information and expectations are included in employment offers
- iii. Convey a copy of the startup award, including the final budget and career development plan to the faculty member
- iv. Ensure that the faculty member is trained in making expenditures from the REDE-established startup account and tracking spending in the account
- v. Document department contribution to the startup package, and communicate to the recipient
- vi. Review progress on the research project at least annually and incorporate findings into annual evaluations
- vii. Ensure that changes in budget and scope of work are submitted to REDE through the ADR
- viii. Participate in review meetings for startup recipients

3. Associate Dean for Research (ADR)
 - a. Review requests, communicate needs for revision to the department chair, and obtain/provide college-level approval, taking into account the strength of the candidate, departmental support and career development plan, and fit of the research program within the college or school
 - b. Transmit approved requests to the assistant vice chancellor for research development (AVC RD)
 - c. Receive and address comments and concerns from REDE
 - d. Document the college/school contribution to the startup package and communicate to the recipient
 - e. Participate in review meetings for startup recipients
 - f. Provide REDE with estimates of future startup needs annually

4. REDE
 - a. Post request forms and program guidelines to a website accessible to candidates, faculty, and staff
 - b. Review requests, communicate needs for revision to the ADR, taking into account availability of funds, institutional priorities, research productivity of the department, and return on prior startup packages
 - c. Provide an evaluation and recommendation for funding to the Provost
 - d. Convey the final decision on requests for startup to the ADR and department chair
 - e. Establish recipient-specific accounts for REDE portion of startup funds
 - f. Ensure access of department staff to the respective accounts
 - g. Coordinate review meetings for startup recipients
 - h. Track commitments and estimate future needs for startup funding
 - i. Track and report return on startup funding

5. Provost
 - a. Make funding decisions on all startup requests
 - b. In partnership with the vice chancellor for Administration and Finance, ensure annual funding to meet the financial commitments of the startup program.