RESEARCH INVESTMENT IN THE SCIENTIFIC ENTERPRISE (RISE) FUNDING POLICY

V4.1 1/23/25

Introduction

The goal of the Research Investment in the Scientific Enterprise (RISE) program is to provide direct support for the Department of Medicine's research faculty. For faculty who have obtained eligible extramural research funding, the program provides a fixed dollar amount of unrestricted funds that may be used for research expenses, including PI and staff salaries along with any other expenses related to research. The RISE program is also designed to reward productivity and funding success by providing more funding for additional extramural grant/s awarded.

Research is a key pillar for the Department of Medicine, and the RISE program provides researchers with funding to use at their discretion to bolster the spectrum of basic, translational, clinical, outcomes, implementation, and health services research across our Department.

Eligibility Criteria

- Must have primary faculty appointment in the Department of Medicine, regardless of work location (CU-Anschutz, Denver Health, National Jewish, or the VA).
- NIH R01, P-, and U-level Principal Investigators (PIs) are eligible. All R01, P- and U-equivalent grants from other external funders are also eligible, including those from the Department of Defense (DoD), Veteran's Affairs (VA), professional societies, and foundations. Grants from internal (CU) funding sources are not eligible.
- Only peer reviewed awards where the PI has intellectual input to study design are eligible. Industry contracts and Interpersonal agreements (IPAs) are not eligible.
- Must be the PI, MPI, or co-PI on at least one eligible award, with direct costs ≥$250,000 annually to qualify. In recognition of the fact that applications are rarely submitted at exactly the maximal allowed dollar amount of $250,000, award eligibility is set at $245,000 in direct costs. NIH equivalents must also be at least $245,000 annually in direct costs.
- If MPIs or co-PIs are all in DOM, they will each receive credit for the full award amount (except some P grants; see MPI Conditions below).
- There is no FTE requirement to receive RISE funding.
- Eligible grants do <u>not</u> include: supplements, training, or conference awards, including the following NIH mechanisms: K, T, R00, R03, R13, R21, R24, R25, R34, R35<$400,000, R38, R50, R90, U13<$400K.
- Grants in No-Cost Extension (NCE) status do not qualify.
- Division Heads are ineligible for this program. Interim Division heads are eligible.

Program Details

1. RISE is based on direct costs of any eligible award/s. Each individual award must be ≥$245,000 in direct costs to be included. If you submitted a grant budget ≥$245,000, but subsequently received an administrative budget cut to under $245,000 in direct costs, you will be eligible as long as you include your <u>submitted PDF budget</u> with your application.
2. RISE funding is additive; direct costs from all eligible awards will be summed to determine the level of RISE funding.
3. Awards routed through CU Anschutz, including those routed through a Department or Center/Institute outside of DOM, are eligible if a faculty member has a primary DOM appointment and is Co-PI or MPI named on the funding agency notice of grant award (NOGA) or equivalent.
4. Prime awards to other institutions that issue a subcontract to a DOM faculty qualify if the DOM faculty is a named Co-PI or MPI on the NOGA and the subcontract direct costs are >$245,000.

5. Only the direct costs of PI, Co-PI, and MPI awards will be used to determine RISE funding level (Table 1).
6. Division match is required to receive DOM RISE funding.

Table 1. RISE Funding Levels.

RISE Funding Level	Summed Direct Costs for all eligible awards	RISE amount (per year, DOM contribution only)	**Total RISE amount** (per year, DOM contribution plus Division match)
1	$245,000 – 495,000	$10,000	$20,000
2	$495,001– 1,000,000	$20,000	$40,000
3	>$1,000,000	$25,000	$50,000

RISE funds can be spent as unrestricted research funds, abiding by CU financial policies, at the recipient's discretion, with the exclusion of sensitive expenses such as food and beverage. RISE may be used for, but is not limited to: PI salary, additional research tests/procedures/sample collection, statistical analysis of data, preliminary data generation, staff salary (including post-doctoral fellows, research professionals, graduate students), core facility/service costs, publication costs, research-related travel for any research personnel including mentees, reagent purchases, and equipment purchase or maintenance. RISE funds cannot be "donated" to others, including mentees or junior faculty, but can be used for postdoc and fellow salary top-ups and experiment supplies, and this is highly encouraged, as long as the faculty recipient manages the funds.

RISE funds will be issued as a single CU account speed type to be managed by the recipient and the recipient's Division Administrator. A yearly financial report including the current account balance and posted expenses each year after the award account was activated must be submitted to DOM Research. Delay in report submission will delay issuance of the next year's funding.

RISE eligibility assessment will occur three times per year, in April, August, and December. To receive any adjustments based on new awards, your NOGA or equivalent must be uploaded on or before the first of the month (i.e. March 31, July 31, November 30). All adjustments will be effective on the first day of the following month, i.e. May 1, September 1, January 1 for the March, July, and November assessment dates, respectively (Table 2). Those submitting NOGAs after the due date and recipients of awards with start dates between RISE assessment and activation dates will receive funding in the next cycle. RISE funds will be active for one calendar year from the date of RISE activation rather than the award date.

Table 2. RISE Funding Cycle Dates.

RISE Submission Due	**RISE Funding Year Begin Date**	**RISE Funding Year End Date**	**RISE Account Balance Submission Date**
March 31	May 1	April 30	April 1-13
July 31	September 1	August 31	August 1-13
November 30	January 1	December 31	December 1-13

Awards already submitted and approved to receive RISE funding do not need to be resubmitted annually. For multi-year awards, funds will be added at the beginning of each RISE year for your award/s.

First R01
PIs of their first R01 or R01 equivalent award are eligible for level 2 funding at $20,000/year from DOM for the period of the award. Any additional awards will be subject to all other RISE policies.

Application Process
Any faculty member who is eligible for RISE will receive funding at the appropriate level. Faculty must apply online by providing demographic information and uploading the Notice of Grant Award (NOGA) or equivalent. Eligibility will not be assessed automatically; only online submissions will be eligible for RISE funding. Only one NOGA per award can be submitted, and the single applicant from the award must complete the online form including all Co-PI or MPI details. Multiple uploads of the same NOGA from different PIs will delay RISE funding.

Submission of Annual RISE Funding Reports
Funding in years 2-5 is dependent on annual online submission of a balance report for your RISE speed Type (sp tp) account. This annual RISE balance report must include the balance for all RISE funds (DOM and Division) for the preceding year. The annual RISE balance report must be submitted in the first two weeks of the month prior to your RISE award date. For example, if your RISE funding cycle is May through April, your balance report is due in the first two weeks of April (Figure 1). Please work with your financial administrator to obtain this report and submit in the portal.

Conditions
MPI and co-PI Grants
Multiple PI (MPI) and Co-PI awards will be treated as whole for each PI. That is, each designated PI will be assessed for RISE funding by the full direct costs for the award. In the case of P grants, each PI or MPI will be assessed for RISE funding by the direct costs associated with the specific project/core that they lead, not the whole award.

Only awards made to the University of Colorado Denver as the prime recipient count in full, except in the case of NIH large, multi-center consortia grants and equivalents. Examples of such consortia awards are the All of Us Research Program, Rare Disease Clinical Network, Infectious Diseases Clinical Research Consortium, and the RECOVER Initiative. All such consortia awards will have the full amount of direct costs awarded to CU Denver included for RISE calculations (if >$245,000/year, this threshold applies to all funding mechanisms). For other MPI awards, only the subcontract direct costs received by CU Denver will count toward the RISE total, if over $245,000/year.

Award Period
RISE funds are available for the period of the eligible award/s. If a RISE eligible award is not renewed or expires, total RISE funding will be recalculated in the RISE funding cycle following award expiration. If an investigator receives an additional RISE eligible award, total RISE funding will be recalculated in the cycle following award issuance. No cost extensions (NCE) do not count toward the total direct costs for an investigator.

RISE Funding Cycle Distribution
A RISE Funding Cycle begins when the eligible applicant receives funding on May 1, September 1, or December 1. All submission and funding processes are tied to the initial RISE funding cycle award date (Figure 1a). If an active RISE recipient receives new funding later in the calendar year, they should submit their NOGA according to the standard application process. If the new award direct costs added to the previous total qualifies for the next level of RISE funding (e.g. moving from Level 1 to Level 2),

then they will receive the funding increase into their existing RISE account at the next implementation cycle (May 1, September 1, January 1). In this case, both awards will be amalgamated and the RISE funding cycle will be updated to the new cycle date (eg. Funding Cycle moving from May to September), effectively extending the period that the initial RISE funds may spent. Only one funding report per year will be required, based on the updated RISE funding cycle (Figure 1b). In all subsequent years, total funds must spent in one RISE funding cycle (ie. 12 months). Each RISE cycle funding is distinct, and the higher level of funding will persist until the original award/s expire, at which time eligibility will be reassessed at the next funding cycle based on current direct costs (Figure 1c).

Example RISE Level Increase
A RISE recipient who received Level 1 funding ($10,000) on May 1, 2024, then received a new award in July 2024, would submit their NOGA by August 1, 2024. If this award makes the applicant eligible for Level 2 RISE funding (Table 1), they will receive the additional amount (+$10,000), deposited into their existing RISE account, on September 1, 2024. The RISE Funding cycle would now move from May 1, 2024 to September 1, 2024 for the whole amount in their RISE account ($20,000). The investigator would have until August 30, 2025 to spend the funds. The annual funding report for this investigator will be due by August 15. Make whole for the next award period would occur on September 1, 2025. On that date the investigator's RISE account would contain $20,000, which must be spent in that RISE cycle, by August 30, 2026 (Figure 1b).

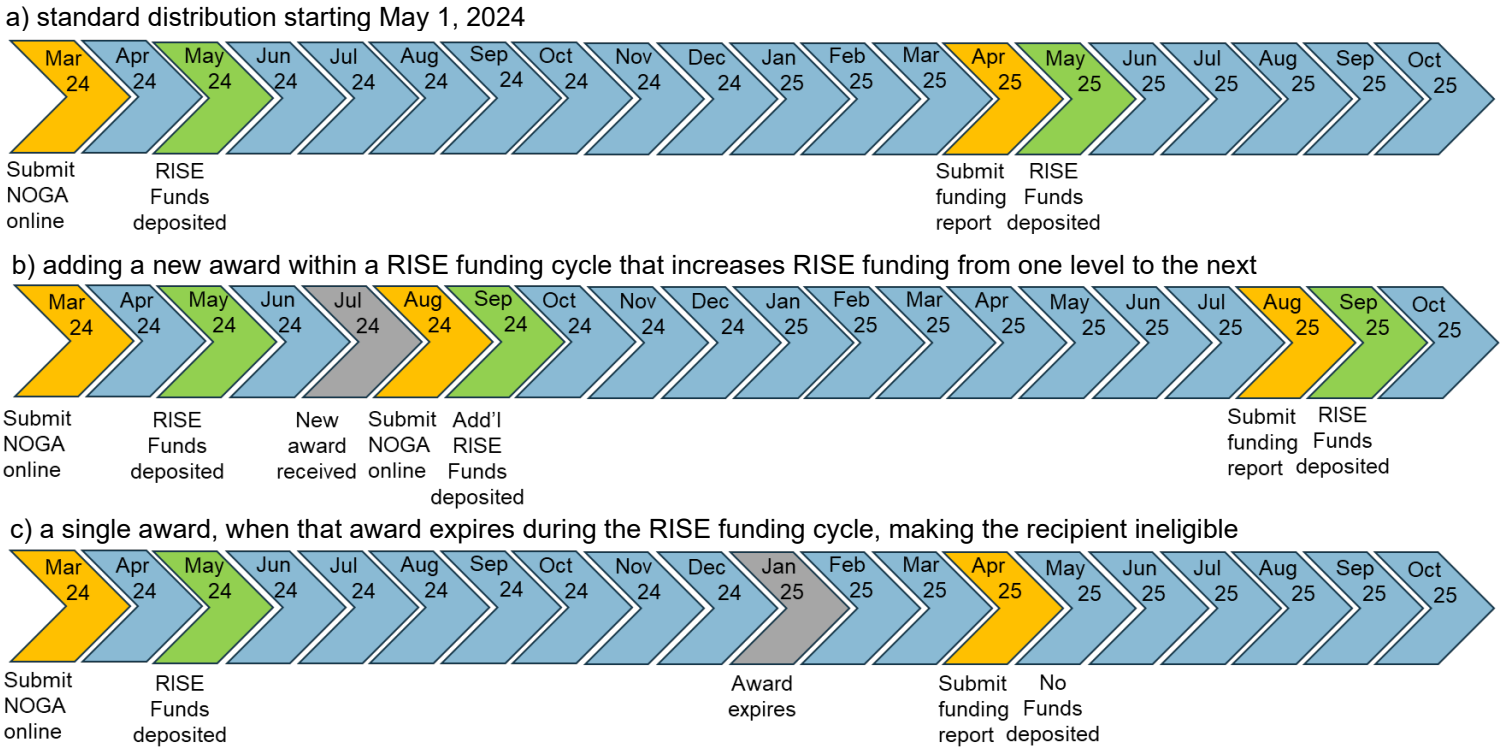

Figure 1. Example RISE funding cycles for: a) standard distribution starting May 1, 2024; b) adding a new award within a RISE funding cycle that increases RISE funding from one level to the next; c) a single award, when that award expires during the RISE funding cycle, making the recipient ineligible for RISE.

<u>Award Carry-over</u>
No funds carry-over is allowed until the final year of the eligible award. In all previous years, any unspent funds will be deducted from the subsequent year's award amount. For example, if you receive a RISE award of $40,000/year but spend only $32,000 in Year 1, you will have $8,000 remaining in

your RISE account to start Year 2, and $32,000 will be added to provide a total of $40,000 in funding to start Year 2. RISE account balance report amounts <$1,000 will not be deducted from the subsequent year's funding.

Carry-over will be allowed only in the final year of the eligible award. At that time, the recipient may elect to take a 12-month extension and spend the final year's funds over a total of 24 months. No extension beyond 24 months is allowed.

Questions
Please send any questions regarding RISE to DOMResearch@ucdenver.edu