



## Office of Research and Sponsored Programs

1324 W. WISCONSIN AVE.

HOLTHUSEN HALL, 341

414-288-7200

[www.marquette.edu/orsp](http://www.marquette.edu/orsp)

## Understanding Credit Splits

October 2021

**Purpose:** To provide guidance on what credit splits mean for grant applications and awards.

Marquette University is committed to supporting collaborative and interdisciplinary research and projects. In its May 1, 2021 report, the Academic Planning Workgroup called attention to elevating the profile of researchers and projects that create bridges between schools, colleges, and the world we live in and are called to serve. The development of credit splits is designed to acknowledge and reward the efforts and dedication of the parties involved.

To this end, investigator credit will be captured in two different ways:

- **Allocation.** Allocation is the University's internal method of determining how incentive funds should be returned to participating investigators, and their respective units, based on each investigator's relative contribution to the grant project over its lifetime. This indicates work done by the investigators and their respective units, split by percentage to each, which could include centers or institutes in addition to a home unit. These amounts are used to distribute annual research incentive funds for those proposals that carry the university's full federally negotiated on or off campus rate for indirect costs. Proposals with a lower indirect cost rate do not qualify for incentive funding (and therefore allocation credit does not apply). The allocation distribution is not intended to change or impact current university, college or department policies or practices. Allocation will follow whatever practices are currently in place for the units involved.
- **Recognition.** Recognition is the University's internal method of crediting contributing investigators and personnel (and their respective units), based on each investigator's relative academic contribution to the grant project over its lifetime. This indicates academic or intellectual credit for the proposed project. It is allocated by percentage to investigators and department/unit. These amounts can be used in promotion and tenure decisions, merit increase decisions, etc.

All Principal Investigators (PIs) and Co-Investigators (CIs) will be required to certify that the information in the application is true and correct.

Proposals that involve more than one unit or college often involve negotiation of credit split between those colleges and units. Be sure to plan adequate time in the proposal preparation process to contact involved units and colleges.

## Allocation

### What is Allocation?

Allocation is the University's internal method of determining how incentive funds should be returned to participating investigators and personnel, and their respective units, based on each investigator's relative contribution to the project over its lifetime.

- At the time of proposal, PIs and CIs must agree on the distribution of Allocation among themselves. We encourage consultation with Chairs/Associate Deans for Research/Deans of the appropriate unit(s) for complex proposals.
- Allocation is given as a percentage for each investigator and should total 100% for all Marquette investigators on every grant or contract.
- Allocation distribution is recorded in Quali in the proposal and award modules.

- Only those included as key personnel in the Kualu proposal can be included in the allocation. Others involved with either grant development or help with the project, but not defined as key personnel in the proposal, are not considered here.
- Credit of Allocation typically correlates with credit for Recognition but is not required to do so.

### **What is Allocation used for?**

Allocation indicates work done by the investigators and their respective units, split by percentage to each, which could include centers or institutes in addition to a home unit. These percentages are connected to F&A costs, which are then used as the basis to distribute annual incentive funds for those proposals that carry the university's full federally negotiated on or off campus rate. Proposals with a lower indirect cost rate do not qualify for incentive funding (and therefore allocation credit does not apply). The allocation distribution is not intended to change or impact current university, college or department policies or practices; allocation will follow whatever established practices are currently in place for the units involved.

### **Frequently asked questions**

#### ***How do I enter Allocation percentages in my proposal?***

Please see [Starting a Proposal](#) in Kualu.

#### ***What happens if a project is recovering less than the federally negotiated on or off campus rate?***

In this case, the Allocation column will not matter. Allocation is the basis for incentive funds and incentive funds are only provided for grants and contracts that include full on or off campus Facilities and Administration rates.

#### ***Who assigns Allocation values?***

This should be discussed by all investigators at the proposal stage and agreed upon jointly. The PI is responsible for entering the information at the time of application. All PIs and Co-Is will be required to certify that the information in the application is true and correct. Chairs, Deans and other approvers should review the allocation distribution as part of the approval process in Kualu. The distributions entered at the time of application will carry through to any awards made and should be averaged across years for multiyear projects.

#### ***What factors should be considered when determining Allocation distribution?***

There are no strict guidelines on how investigators determine how Allocation credit should be distributed. As a general guideline, consideration should be based on the relative contribution of each investigator. This may also align with the Recognition distribution among investigators.

#### ***Does Allocation have to align with the project's budget?***

Generally, Allocation will most likely align with the budget and Recognition among investigators. However, there are scenarios where this may not be the case. Examples of these scenarios include significant contributions from an unfunded collaborator, mentorship, and sponsor budget or support limits.

#### ***What is the difference between effort and Allocation?***

Effort is utilized to help develop the budget and confirm time commitments on a particular project. There is typically a strong correlation between effort and Allocation, but ultimately depends on the project and scope of work.

#### ***Can Allocation be changed?***

There are several scenarios where Allocation credit may change. Examples include changes in personnel or changes in the scope of work which may result in a shift of work to one or more personnel. As is the case with an initially agreed

upon credit split, all key personnel must agree upon any changes to Allocation and it must be approved by all Chairs/Deans/Other Approvers. Unless there are extenuating circumstances, it is expected that any changes will occur no more often than annually.

***Does Allocation pertain to all project personnel?***

Allocation applies to Marquette personnel who are included as PI or CoI. Key Personnel are by default not included, but may be added. Others involved in the application or project, who are not named as key personnel, are not eligible for consideration here.

***Can I select any unit for credit splits in addition to my home unit?***

Yes, however, units eligible for credit split recognition or allocation are those recognized by the university. If you are involved with a unit other than your own, for example a center or institute, you may want to assign some of your credit to that unit. This can be done at the time of application.

***Will sponsors be notified of Allocation distributions?***

Allocation distribution is internal to the University and will not be provided to external funders.

***Will credit splits be applied to current awards and pending proposals?***

No. The credit split process will begin with all proposals submitted on November 1, 2021 or later. Existing awards and pending applications will not be grandfathered in.

## **Recognition**

### **What is Recognition?**

Recognition is the University's internal method of crediting contributing investigators and personnel (and their respective units), based on each investigator's relative academic contribution to the project over its lifetime.

- At the time of proposal, PIs and CoIs must agree on the distribution of Recognition among themselves. We encourage consultation with Chairs/Associate Deans for Research/Deans of the appropriate unit(s) for complex proposals.
- Recognition is given as a percentage for each investigator and should total 100% for all Marquette investigators on every grant or contract.
- Recognition distribution is recorded in Quali in the proposal and award modules.
- Only those included as key personnel in the Quali proposal can be included in the recognition. Others involved with either grant development or help with the project, but not defined as key personnel in the proposal, are not considered here.
- Credit of Recognition typically correlates with credit for Allocation but is not required to do so.

### **What is Recognition used for?**

Recognition provides an opportunity for faculty involved in the project to be recognized for their academic/scientific contributions that might not be reflected in the budget. Recognition is **not** used to allocate budgets across multiple units nor is it used to determine allocation of incentive funds. Recognition can be used in promotion and tenure decisions, merit increase decisions, etc.

### **Frequently asked questions**

### ***How do I enter Recognition percentages in my proposal?***

Please see [Starting a Proposal](#) in Kualii.

### ***Who assigns Recognition values?***

This should be discussed by all investigators at the proposal stage and agreed upon jointly. The PI is responsible for entering the information at the time of application. All PIs and Co-Is will be required to certify that the information in the application is true and correct. Chairs, Deans and other approvers should review the recognition distribution as part of the approval process in Kualii. The distributions entered at the time of application will carry through to any awards made and should be averaged across years for multiyear projects.

### ***What factors should be considered when determining Recognition distribution?***

There are no strict guidelines on how investigators determine how Recognition credit should be distributed. As a general guideline, consideration should be based on the relative academic contribution of each investigator. This may also align with the budget allocation among investigators and key personnel. Example items to consider include but are not limited to development of the proposal or idea, supervising personnel, generating research or knowledge, monitoring and reporting progress, and contributions to subsequent publications or other presentations.

### ***Does Recognition have to align with the project's budget?***

Generally, Recognition will most likely align with the budget and Allocation. However, there are scenarios where this may not be the case. Examples of these scenarios include significant contributions from an unfunded collaborator, mentorship, and sponsor budget, support or personnel limits.

### ***Can Recognition be changed?***

There are several scenarios where Recognition credit may change. Examples include changes in personnel or in the scope of work which may result in a shift of academic credit to one or more personnel. As is the case with initially agreed upon credit split, all key personnel must agree upon any changes to Recognition and it must be approved by all Chairs/Deans/Other Approvers. Unless there are extenuating circumstances, it is expected that any changes will occur no more often than annually.

### ***Does Recognition pertain to all project personnel?***

Recognition applies to Marquette personnel who are included as PI or CoI. Key Personnel are by default not included, but may be added.

### ***Can I select any unit for credit splits in addition to my home unit?***

Yes, however, units eligible for credit split recognition or allocation are those recognized by the university. If you are involved with a unit other than your own, for example a center or institute, you may want to assign some of your credit to that unit. This can be done at the time of application.

### ***Will sponsors be notified of Recognition distributions?***

Recognition distribution is internal to the University and will not be provided to external funders.

### ***Will credit splits be applied to current awards and pending proposals?***

No. The credit split process will begin with all proposals submitted on November 1, 2021 or later. Existing awards and pending applications will not be grandfathered in.