

Lyda Hill Institute for Human Resilience
Facilities and Administration/Indirect Cost Sharing Policy
Adopted January 2016, Revised April 2021

This policy is to guide decisions made when sharing F&A from grants with other units and/or with multiple PIs. The goal is to create a mutually beneficial agreement that fosters scientific growth and infuses campus interactions with the Lyda Hill Institute for Human Resilience (the "Institute") that advance UCCS sponsored projects and activities. The Institute typically follows the Campus (#900-003; 60% to campus, 40% to college) policy on disbursement of F&A from funded grant projects. The typical disbursement of 60% to campus, 40% to college holds when all PIs are within the Institute without other departmental appointments. This Institute policy guides decisions about splitting the College/Institute 40% percent of F&A. PIs must negotiate changes to the Institute's distribution with the Institute Director.

The primary purpose of F&A is to support and grow the infrastructure needed for the continued operation of grant activities and is guided by federal and campus policy. According to the UCCS Office of Sponsored Programs Handbook, the portion of the F&A returned to colleges or departments is *"to provide the infrastructure for additional contract and grant activity, as an investment in the continued ability of the departments to generate sponsored activities. These funds are used to enhance the sponsored activity environment. Examples include: funding pilot studies to obtain preliminary data that is needed prior to a formal proposal submission, travel to visit sponsoring organizations, equipment maintenance/purchase, and providing matching funds for specific programs"*.

F&A is essential for ensuring future growth of the Institute and its ongoing contributions to cross-disciplinary research, student training, and faculty development. Thus when determining how to split F&A between units, building the Institute research and training infrastructure and maintaining the mutually beneficial relationships involving sponsored projects between the Institute and other campus units should be the primary considerations when determining the appropriate division of F&A. From UCCS OSP Handbook: *"F&A costs are those that are incurred for common or joint objectives and therefore cannot be identified readily and specifically with a particular sponsored project, but contribute to the ability of the University to support research projects and programs. Such costs are normally classified under the following categories:*

- § depreciation and use allowances;*
- § general administration and general expenses;*
- § sponsored projects administration expenses;*
- § operation and maintenance expenses;*
- § library expenses;*
- § departmental (Institute) administration expenses; and*
- § student administration and services.*

In other words, F&A costs stem from providing research space and administering the activities, not from the actual performance of the activities under the sponsored agreement."

With this definition of F&A in mind as well as the UCCS F&A distribution policies, the following responsibilities and costs will be considered when deciding what is the appropriate split of the 40% that normally is allocated to the Institute:

- Use of Institute research spaces (including Lane Center)

- Use of Institute equipment (copier, printers, fax) and supplies for general grant activities that are not covered by the grant (e.g., questionnaire costs may be included as a direct cost in the grant but more administrative and general copying is typically included as part of F&A costs).
- Use of Institute staff as administrative support for hiring personnel for grant including managing student hires, tracking grant expenditures, purchasing, payroll services (e.g., paying faculty, paying students and other staff), travel arrangements and reimbursements, participant payments, oversight on compliance issues, etc.
- Use of shared Institute equipment or facilities.
- Use of Veterans Health & Trauma Clinic clients or databases for data collection activities (to include IRB requirements).
- Use of Institute staff to provide research and compliance oversight of multi-disciplinary research projects.

General Principles for Determining Appropriate Distribution of F&A across Units

No more than 10% of the 40% allocated to the Institute will be shared with other units unless there are extenuating circumstances, which may include:

- More than one faculty member from a single department/unit
- More than allocated research space in the collaborating unit(s) is required
- Majority of the proposed work is outside of the Institute

The following alternate divisions of F&A will be considered (with adequate justification) when the Institute component needs to be split across units:

Small Proportion to Institute (10% Institute, 30% other unit—25%-75% split of the Unit's 40%): Few Institute resources are used. Students may be using standard research space already allocated to faculty member and may be funded on grant. No research staff are hired or appointed to the Institute. Institute equipment (e.g., copier, fax, printer, office phone) and supplies are not used for grant activities and the grant administrative support is provided by the other unit(s). Additional sponsored projects are unlikely to develop through the Institute with this award.

Equal split between units (20% Institute, 20% other units—50%-50% of the Unit's 40% split): There is a sharing of administrative costs across units. Both units hire/process personnel pay or appointments. Both units provide use of space and equipment. Administrative tasks are split across units. There is equal opportunity for growth of sponsored projects and future funding opportunities in both units.

Larger Proportion to Institute (30% Institute, 10% other units—75%-25% of the Unit's 40% split): This is the *DEFAULT* split between Institute and other units unless the extenuating circumstances listed above are met and/or additional rationale is provided for greater growth of sponsored projects in other units. The Institute provides the majority of the administrative support for the grant activities. Institute equipment, supplies, and space may be used. Grant staff members are appointed to the Institute. Research growth and future sponsored program activities will come through the Institute. Other units must provide some administrative support or space to warrant a 75%-25% split.

Entire Amount to Institute: (40% Institute, 0% other units): The Institute provides all the administrative and research support for the grant activities.

Typically, the PI portion of the F&A split is 25% of the Unit's 40% (or 10% of the total) when there is a single PI. When there are multiple PIs within the Institute on a single grant who do not have other appointments, then the PIs will need to decide how the PI portion of the F&A will be distributed amongst the PIs. This is an internal agreement within the Institute and needs to be communicated to the

Director and Institute Financial Manager prior to the grant submission when possible. . When other units are involved the PI(s) needs to consider what the appropriate distribution should be. When the PI is within the Institute, distributions *must be discussed and approved* by the Institute Director. The campus differential F&A distribution form should be submitted with the grant routing forms. Different colleges, centers, and institutes may have different distribution policies than the Institute. This policy applies only when full F&A is contracted with the sponsoring agency. For grants restricted to a reduced F&A rate, the PI portion is 12.5% of the Unit's 40% (or 5% of the total). When the off-campus F&A rate applies, there is no portion distributed specifically to the PI.

SPECIAL NOTE: The Psychology faculty member's PI ICR percentage will be taken from the Psychology Department's portion of the split, not the Institute's. The Institute is available to manage the ICR accounts of Dr. Benight and other faculty members who engage in research opportunities through the Institute.

APPENDIX A: General Principles for Determining Appropriate Distribution of F&A to the Psychology Department

This Appendix is designed to foster mutually beneficial interactions between the Institute and the Psychology Department that recognize the value that Institutes and Centers add to sponsored program activities in the Psychology Department and to UCCS. This policy also considers the complex and competing responsibilities when a Faculty member is also responsible for financially sustaining an Institute due to the nature of their departmental and campus appointments.

Since its inception, the Institute (formerly the Trauma, Health and Hazards Center) has demonstrated itself as a valuable asset to the Psychology Department in the following ways:

- Financial
 - Support for PhD level students and MA level students thereby contributing to the success of the Psychology Department's MA and PhD programs.
 - Mind-1 gift through Institute brings the first student endowment fund to ensure sustained funding for future PhD students (trauma psychology track)
- Research
 - Provides a multi-disciplinary environment that offers Psychology (and other departments) faculty unique opportunities for cross-disciplinary research within UCCS and at other institutions. Cross-disciplinary, multi-institutional research opportunities have the potential to make Psychology (and other) faculty members more competitive for research grants in a very challenging funding climate.
 - Provides a multi-disciplinary research training environment for Psychology undergraduate, MA, and PhD students and promotes their academic growth within and outside the field.
- New Faculty
 - Gift supported new faculty position with a Trauma focus. Increases the breadth and scope of departmental expertise and expands direct and indirect funding to the Department through additional research grants obtained by new faculty.
- Grant Support
 - For Psychology Department faculty members through grants and work at the Institute.
 - For Psychology Department faculty through an STTR award that came from work initiated at the Institute.

Current F&A policies within the Psychology Department do not address the unusual situation in which a Psychology faculty member has a dual appointment with responsibility for sustaining an Institute outside of the Psychology Department. This situation adds richness to the Department and to the opportunities available to faculty and students. It also adds complexity requiring special consideration of F&A distributions.

When a Psychology faculty member is the PI or co-PI on a grant proposal that is routed through the Institute, no more than 10% of the 40% allocated to the Institute will be shared with the Psychology department unless there are extenuating circumstances, which may include:

- More than one faculty offload (as 1 offload is not unusual)
- More than one faculty member from the Psychology department is involved
- More than Dr. Benight's or another Psychology faculty member's allocated research space is required

The Psychology faculty member's PI ICR % will be taken from the Psychology Department's portion of the split, not the Institute. The Institute is available to manage the ICR accounts of Dr. Benight and other faculty members who engage in research opportunities through the Institute.

When the proposal is routed through the Psychology Department, the split will be discussed between the Psychology Department Chair and the Director of the Institute to determine which scenario described in the main policy section is the most appropriate arrangement.