UW Regulation 9-2: Indirect Cost Policy

Department Research and Indirect Cost Survey

Question 1:

What types and sources of external funding are available? (Check all that apply)

Answered: 31   Skipped: 0

Research and Indirect Cost Survey
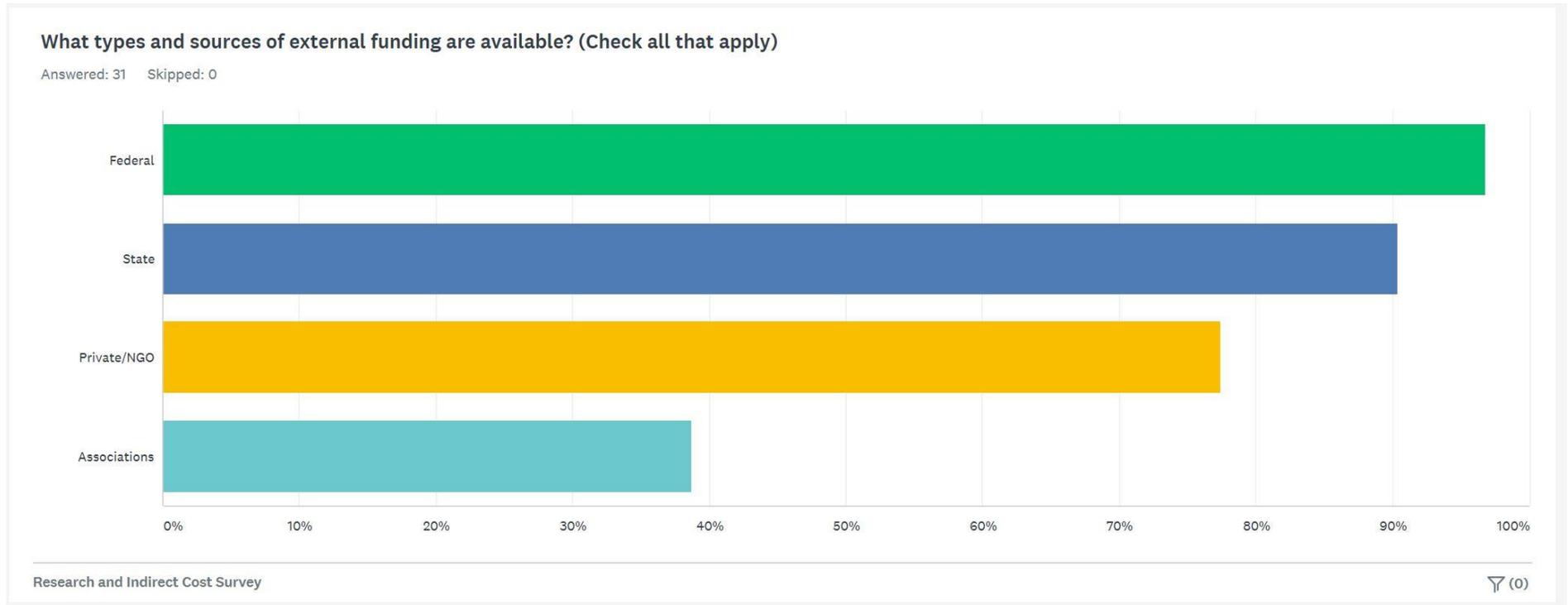
Question 2:

What are the typical budget sizes for external grants/contracts written by PIs?

Answered: 31   Skipped: 0

200,000

$300K

6,000.00-10,000.00

500,000

all sizes

$300,000

$284K per faculty per year, plus $2.5M per year for the King Air Cooperative Agreement, plus $15.8M over 5 years for the NSF Mid-Scale grant

$50,000

50,000

$200-400K annual funding (annual basis for this question is really important to survey data)

5,000

$7,500 - $3.5M range; typical $300,000

$2000-1.5 million

$1,500,000

can vary a lot

$200,000/year total costs (and up), usually run 3 to 5 years if awarded

500k

Ranges up to $700,000

100,000.00

$25,000 - $100,000

Vary from small ($1,000s) to large NIH/NSF ($100K to $1-2M) per year

$100k

$150,000 - $500,000

10000-5000000

These range widely - we'll regularly receive small contributions around $1,000 to $5,000, and also Federal grants in the $200,000 to $500,000 range. And almost everywhere in between.

~$100k/yr

5,000 - 100,000+

I'm not sure there is a "typical". We have cooperative aggreements with state agencies/NGOs that are typically less than $10k, and NSF projects for several million. Average is probably skewed towards the lower end - around $100k
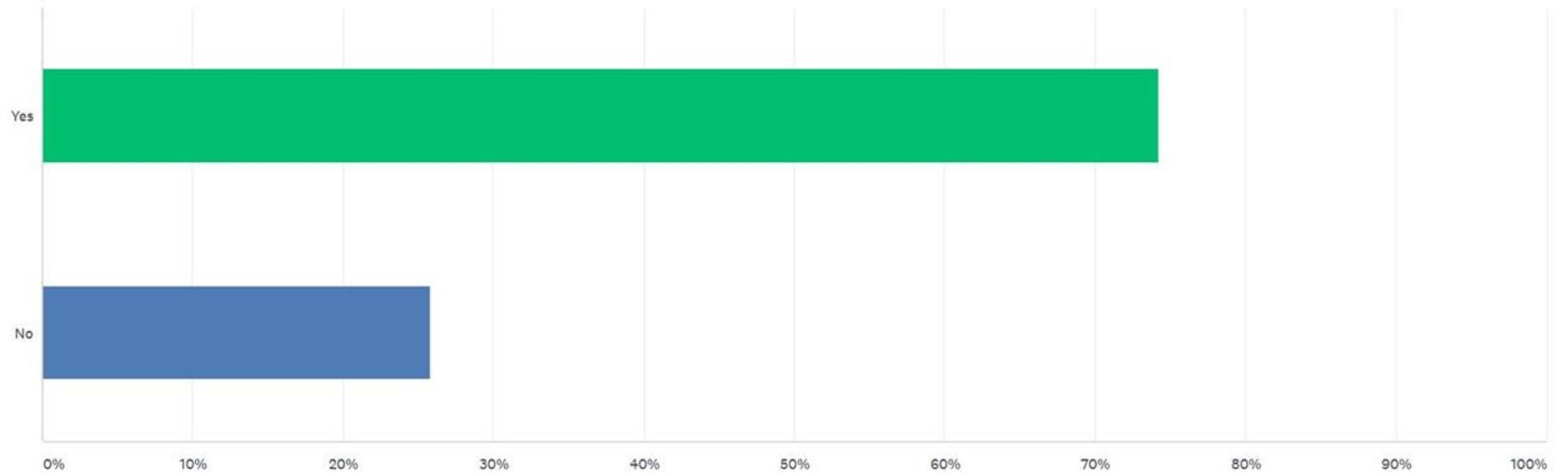
20-200k

$5000 - $750,000

500000

Question 3:

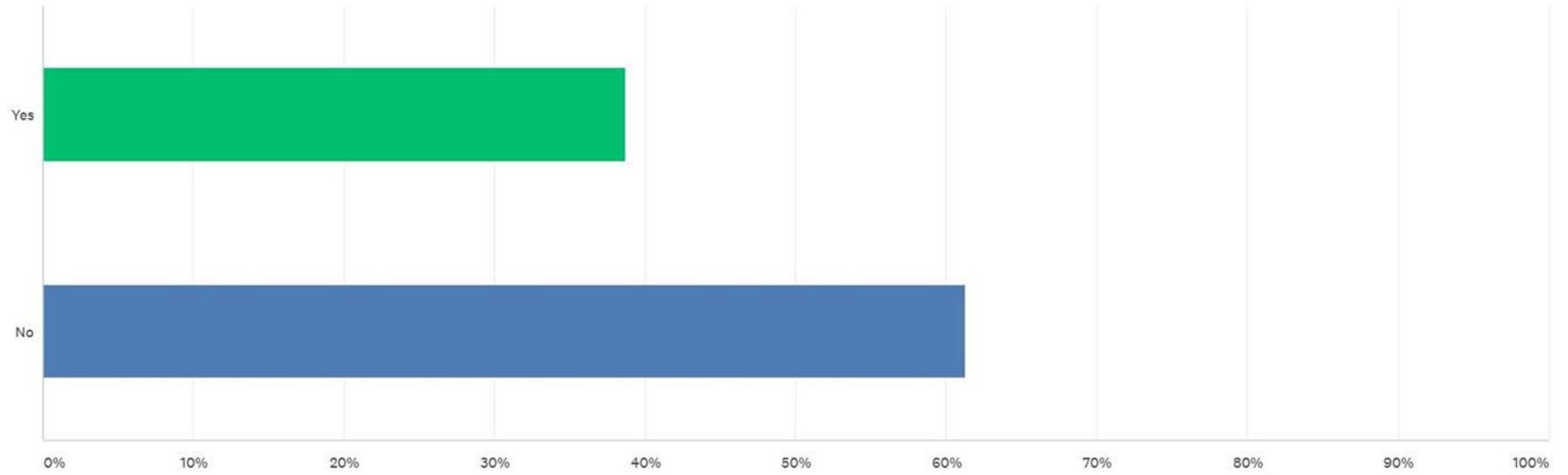**Are there practices used to free up faculty time for research?**

Answered: 31   Skipped: 0

Research and Indirect Cost Survey

Question 4:

Is there a policy or program to mentor assistant professors in grantsmanship?

Answered: 31   Skipped: 0

Research and Indirect Cost Survey

Question 5:

Are faculty required to obtain external grants for tenure & promotion?

Answered: 30   Skipped: 1

Research and Indirect Cost Survey
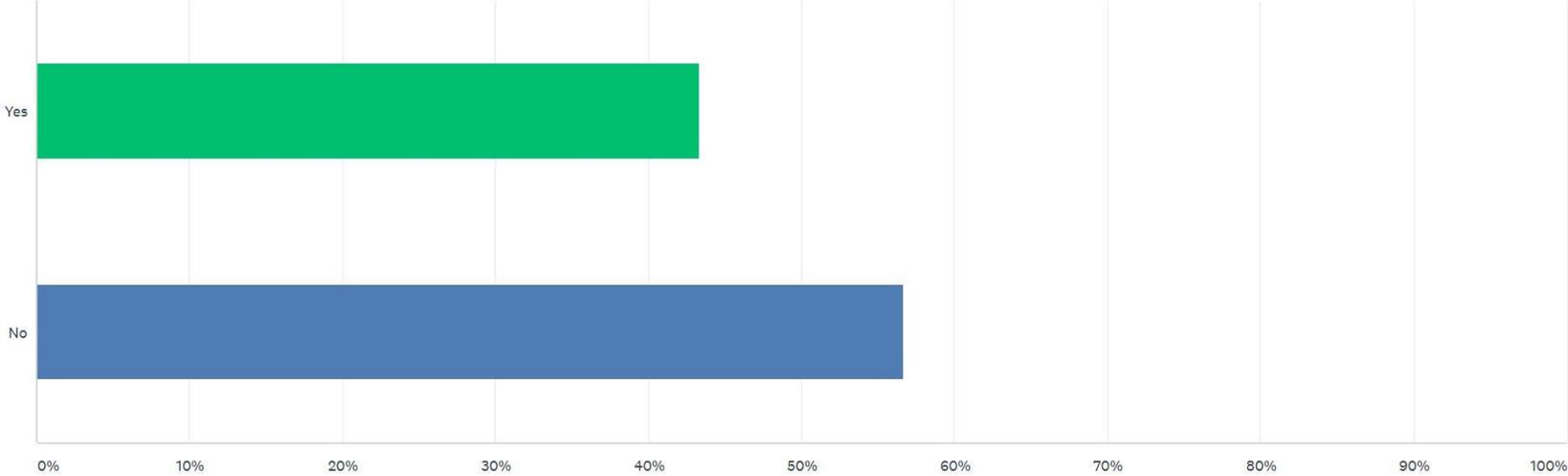
Question 6:

How is research activity (grants/publications/national service/recognition) evaluated among your faculty? Is it a formalized process in annual reviews, ten...

Answered: 31   Skipped: 0

Yes: ormalized process in annual reviews, tenure, promotions and raises

We evaluate all of the above, i.e., grants, publications, and national service/recognition. Yes, it is a formalized process. We also use our faculty research expectation in such a process.

It is a part of our annual review, tenure and promotion criteria

Publication expectations evaluated annually and in P&T

Yes it is the primary subject in annual reviews and T&P reviews. Ideally this is both quantitative (counting) and qualitative (reading and evaluating the work, and looking for impacts).

Yes. We have an official metrics document that applies to these questions

yes. It is part of the annual review, and core to the RTP process.

Annual reviews, RTP

formalized in annual reviews, RT&P.

Formalized process during annual and T&P reviews. We have a standards document.

Yes

Yes to all of the above

Formalized in annual reviews

Yes, formalized process in annual reviews, T&P.

While we're all in the same discipline, there is enough diversity in publication standards that we normalize number of publications by focusing in on obtaining grants from competitive programs, such as NIH and NSF. If you can get a grant there and renew it, you've proven you're productive within the field. That prevents "bean counting" by people who don't know the field and can not judge the impact of the research.

It is taken very seriously in all of the above, but evaluated subjectively

Part of the annual reviews and tenure and promotion

Established benchmarks

Formalized in annual reviews

For tenure and promotion the individual must publish 2 peer reviewed articles/yr over a 3 year period. They must compete for external funding and receive enough support to run their research projects. They must be developing as a recognized national/international scholar.

yes, formalized. annual reviews

Formalized and based on quantitative details, e.g number of proposal written and funding

Part of promotion and tenure process

Formalized evaluation through T&P process and annual reviews, taking into account research productivity metrics (publications, presentations, recognition, awards, and grant success). Since I've been at this university, I can only remember 2 times when merit played any role in raises. This is a sore spot for a LOT of faculty, and leading to unsustainable levels of compression among our top senior faculty.

Research activity is a formally evaluated component to almost all of our tenure-track faculty annual evaluations. However, this is not done using a numerical rubric, but rather is considered using a holistic approach.

Yes, it is a part of our RTP expectations and annual reviews, including credit for publications and how the securing of external funds has promoted faculty and student scholarship and learning. We have note formalized it as a specific factor in raises given the general limited opportunity for merit based raise processes across campus.

We evaluate based on our T&P standards, which are not formulaic. Individual reviewers consider numbers, quality, participation in national service, etc., and weigh everything collectively.

We don't have a rubric and de-emphasize impact factors as in our field most good journals have low / moderate impact factors. Faculty performance is evaluated based on our percieved impact of the work locally and nationally.
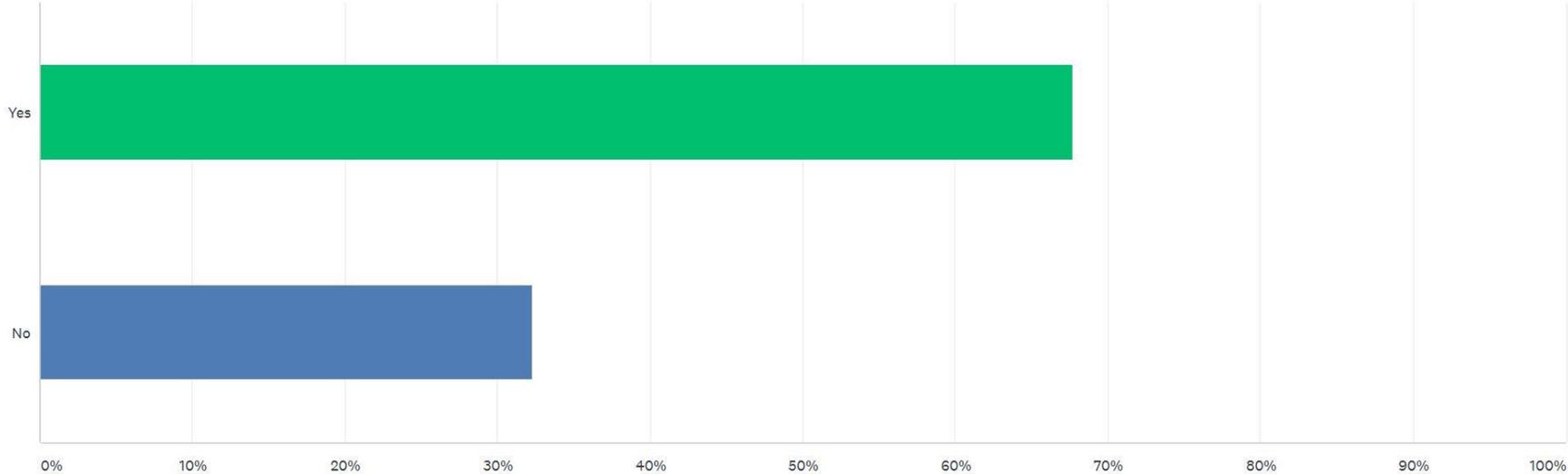
It is a formalized component of RTP and discussed in annual reviews with supervisors

what raises? we do formal annual reviews and the regular RTP process

Question 7:

Is there a mechanism(s) to incentivize research among faculty?

Answered: 31   Skipped: 0

Question 8:

How are indirect funds used or distributed within your unit?

Answered: 30   Skipped: 1

to the department, to cover expenses related to teaching or to support new lines of research and/or equipment

It is used as new faculty startup funds.

We do not receive indirect funds from our grants

Split evenly between dept and PI

Department Head's control. Mostly to support research: Grad student travel; equipment.

There is no policy at present, so it is generally at the discretion of the department head according to unit needs as well as some level of support for faculty travel, lab support, etc.

It is vital to ATSC that IC return to the Departments is not reduced from the current default of 15%. We use our research-grant-based IC funds mainly to support three things: Firstly, our accounting services, which are not covered by State funds. In fact, the ATSC business manager is 100% soft-money. Note that accounting services cannot be added as a direct cost on a grant. Secondly, we use the IC to support ATSC computer services. Our linux servers and data storage systems are purchased through IC funds, as agencies do not allow such expenses as direct costs (unless they are used exclusively for a specific research project). Our IT support person is partially funded through IC return. Our data service in support of the operation of the King Air as a National Facility, and in support of faculty and student's work on the NWSC in Cheyenne, would not be possible without this computer hardware and IT support. Finally, we distribute a fixed fraction of the IC generated by faculty and returned to ATSC, to individual faculty, in support of research initiatives of their choice, e.g. to buy things they cannot charge to a federal grant (e.g., laptops or other computer equipment), or to develop a new research proposal. Clearly, the modus operandi in ATSC depends on the return of (at least) 15% of the IC to the Departments. In addition, special IC distributions for existing cooperative agreements with funding agencies, such as the cooperative agreement with NSF to operate the King Air as a National Facility, need to be honored, as the IC return to the Dept may be an intrinsic part of the budget to operate that facility. For instance, for the King Air, only 75% of the salaries of the pilots, mechanic, engineers and technicians that operate that aircraft and its instruments are covered directly by NSF, with the negotiated understanding that the rest can be covered by a special IC distribution.

Small seed grant program

Small seed grants, overseen by a small college-wide committee

Informal policy since 2013 when I assumed the director position. Return the maximal amount of indirect funds to the PI generating them. This averages 65% but often is >80%. Major unit wide initiatives benefitting many team members over the past 3 years have necessitated slightly low indirect fund returns to PIs in the past 3 years.

Department head authorizes expenditures, typically for delays in setting up award budgets, bridge funding or exploration of new research concepts/proposals

They are distributed back to the grant writer to use to support their research

Seed funding for new research projects and/or cost share

n/a

Indirect funds are kept in a departmental pool and used to finance a robust departmental research seminar (outside speakers), bridge funding for faculty between grants, shared equipment purchases and maintenance, and our share of startup for new faculty.

half goes to the department and half to the PI

Distributed to PI and coPI

Temporary faculty, development funds

Previously, they were all used for supports services. Now, we can reserve them for projects of strategic importance.

Department 15% is split evenly between investigator and department.

Distributed from the college to PIs to be used for general research purposes

They are included in a Department account, and the Department head approves requests from faculty.

15% to dept and 5% to college

Used almost entirely to fund startup packages over the last decade or so, plus a little to maintain & repair major research equipment.

They are split with the PIs 50/50. The Department uses the funds to support equipment/supplies needed for research endeavors or to support graduate student between PI grants. It is grossly inadequate for this purpose, and consequently experimental faculty are heavily exposed if equipment breaks. The PIs usually use their portion of indirect for travel related to their research (pre-COVID). This type of discretionary funding is difficult to acquire otherwise.

Currently the center holds all of those funds centrally. As one of our few sources of discretionary funds, we use these funds for many different purposes, from covering center-wide computing infrastrucre needs to professional development to funding start-up costs.

See 8 - in general 100% of IDCs are distributed to the individual that generates them. As budgets have gotten tighter and grants more competitive, we have considered "taxing" IDC at the deparmtent level to support department wide research activities.

90% to faculty currently

At present, it is through negotiation between the unit head and individual faculty

100% to the department (after the dean's office and research office cut)

Question 9:

Please tell us your Department or Unit name.

Answered: 31   Skipped: 0

Division of Communication Disorders

Physics & Astronomy

Theatre & Dance

Psychology

Civil & Architectural Engineering

Chemical Engineering

Atmospheric Science (ATSC)

School of Counseling, Leadership, Advocacy and Design

School of Teacher Education

Kinesiology and Health

Music

Wyoming Institute for Disabilities (WIND)

Family & Consumer Sciences

School of Energy Resources

Management & Marketing

Molecular Biology

Electrical and Computer Engineering

WWAMI Medical Education

Social Work

Wyoming Natural Diversity Database

Zoology and Physiology

Economics

Petroleum Engineering.

College of Agriculture and Natural Resources

Plant Sciences

Mechanical Engineering

WyGISC

Agricultural and Applied Economics

vet sciences

Haub School of Environment and Natural Resources

Computer Science