

**SPONSORED PROJECTS
University of Kansas – Lawrence Campus**

Multiple Credit System

And

Facilities & Administrative Cost Return

This booklet outlines the multiple credit system used in various reports, including the annual report on sponsored project activity, and the process used to determine the amount of overhead returned to academic units, research centers, and principal investigators. These processes are related but are not identical.

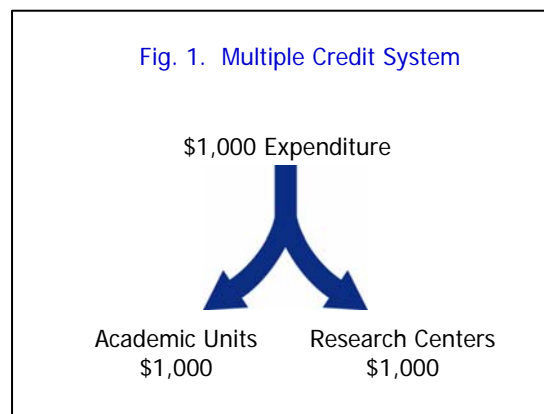
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10-05-05

MULTIPLE CREDIT SYSTEM

An important function of research centers is to promote collaborative efforts between researchers from different academic disciplines. When credit is given only to an academic unit **OR** to a research center, a potential disincentive to participate in such efforts is presented. However, if the academic unit **AND** the research center receive credit, then both the deans of the academic units and the directors of the research centers will benefit from their joint efforts.



In the multiple credit system, proposal, award, and expenditure amounts for each project are credited to both academic units and research centers (and other nonacademic units). For example, if \$1000 was spent on a project, then the appropriate academic unit(s) will receive \$1000 credit for the research, as will the research center (Fig. 1). Therefore, the totals for academic and non-academic research units will be equal (Table 1).

Credit to research centers and other non-academic units.

Investigators may assign their projects to a research center or other non-academic unit. When a project is assigned to a center, all activity (i.e., proposed, awarded, or expended amounts) will be credited to that center. Center assignments are specified on the proposal review sheet.

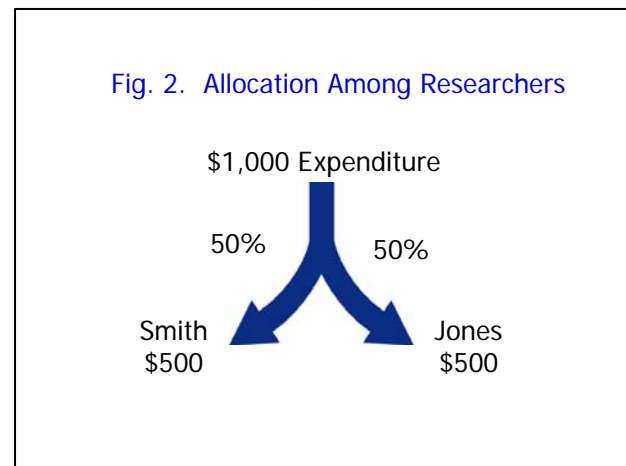
Projects not assigned to a research center are included as "Non-Center Research" in reports listing research activity by center (e.g., Table 1). The **assigned research center** is usually, but not necessarily, the same as the **administrative unit**. The administrative unit is the academic department or research center that manages the project. Each project must have an administrative unit, but does not need to be assigned to a research center/unit. When there is an assigned center, this center usually also serves as the administrative unit.

Credit to academic units

The assignment of credit for sponsored projects to academic units is a two-step process. First, the amount of the proposal, award, or expenditure is allocated among investigators on multiple investigator projects. Second, the amount allocated to each investigator is assigned to academic units based on his or her academic appointments.

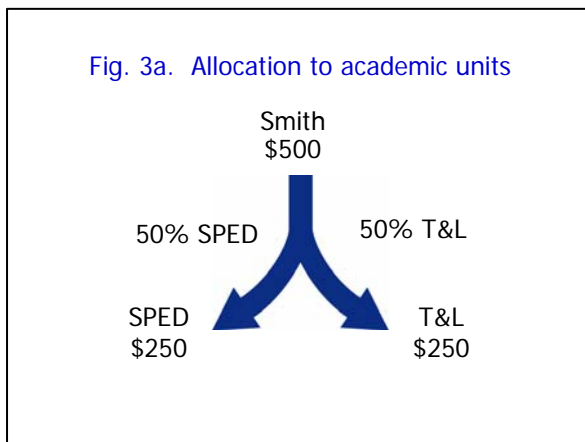
(1) Allocation among investigators. Academic credit for multiple investigator projects is allocated among the principal investigator (PI) and co-principal investigators based on their relative contributions to the project, as specified by the investigators on the proposal review sheet. This allocation may be based on any criteria the investigators deem appropriate. If no allocation is specified by the investigators, then a default allocation is made so that the PI gets 10% more than each of the co-principal investigators (i.e., 90% of the credit is divided equally among all investigators, including the PI, and the remaining 10% is added to the PI's share).

For example, suppose \$1000 was spent on a project with two investigators, Smith and Jones, who chose to share the credit equally. Smith and Jones would each receive \$500 credit (Fig. 2).



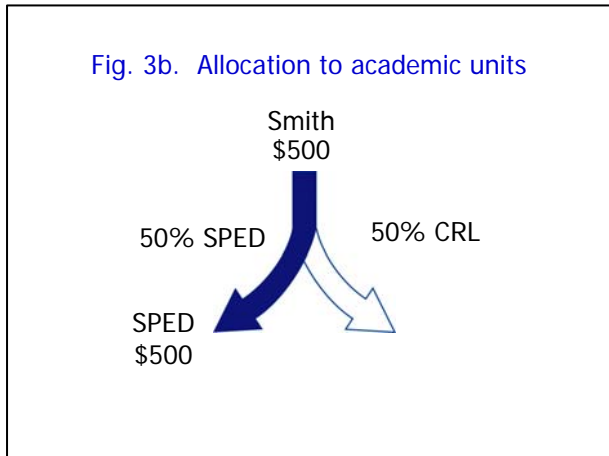
(2) Allocation of investigators share based on ACADEMIC appointments.

Each investigator's share of a project is assigned to academic units according to the investigator's academic appointment(s). If the investigator had more than one academic appointment, then the total is allocated proportionately.

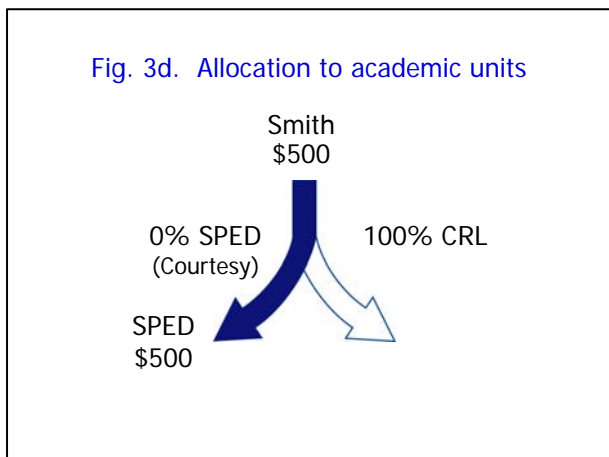
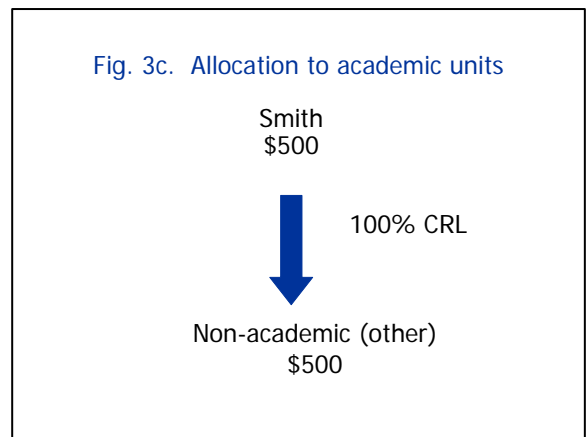


Split appointments. Suppose that Smith had appointments in two academic units: a 50% appointment in Special Education (SPED) and a 50% appointment in Teaching and Leadership (T&L). Smith's \$500 share of the project would be divided equally between the two departments (Fig. 3a).

Non-academic appointments. If Smith had a 50% appointment in SPED (an academic unit) and a 50% appointment in the Center for Research on Learning (CRL; a research center), then all of Smith's share (\$500) would be assigned to SPED (Fig. 3b).



If Smith had no academic appointments, then all the credit would be included in a "Non-academic" category (Fig. 3c, Table 1).



Courtesy appointments. If Smith had a 100% appointment in a non-academic unit (e.g., CRL) and a courtesy appointment in an academic unit (e.g., SPED), but no other academic appointment, then the academic unit making the courtesy appointment would receive all the academic credit (Fig. 3d).

**Table 1. University of Kansas
Sponsored Project Expenditures: FY 2004**

<u>ACADEMIC UNITS</u>		<u>RESEARCH CENTERS & OTHER NON-ACADEMIC UNITS</u>	
Allied Health	1,765,082	Biodiversity Research Center	3,016,907
Architecture And Urban Design	35,599	Center for Environmentally Benign Catalysis	1,110,068
Business	663,492	Center for Research on Learning	7,348,783
Education	21,519,351	Higuchi Biosciences Center	14,246,220
Edwards Campus	431,448	Information & Telecomm. Technology Ctr.	5,102,074
Engineering	9,523,403	Hall Center for the Humanities	2,140,820
Fine Arts	12,363	Schiefelbusch Inst. for Life Span Studies	23,815,384
Graduate School	237,346	Kansas Biological Survey	2,221,752
Journalism & Mass Communication	523	Kansas Geological Survey	1,768,106
Law	62,196	Other Lawrence Campus Research Centers	12,421,016
Liberal Arts And Sciences	37,954,359	Other Non-Academic Units	10,149,795
Libraries	255,693	Medical Center Research Units	7,250,506
Medicine	61,681,697		
Nursing	3,739,967		
Pharmacy	16,635,201		
Social Welfare	6,312,484		
TOTAL NON-ACADEMIC UNITS	23,964,267	TOTAL NON-CENTER RESEARCH	94,203,040
TOTAL	184,794,471	TOTAL	184,794,471

FACILITIES AND ADMINISTRATIVE COST RETURN

A fixed percentage of collected facilities and administrative (F&A) costs is returned to academic units, research centers, and principal investigators. There are two components of this F&A return: (1) a 4% or 6% return to a research center or to the principal investigator, and (2) a 10% return to the deans and directors based on all investigator appointments, excluding courtesy appointments (Fig. 4).

4% or 6% Return to Centers or the PI

When a project is assigned to a research center or other non-academic unit, that unit will receive four or six percent of the F&A collected on the project. If the assigned center is a designated center, it will receive six percent. If the assigned center is not a designated center, it will receive four percent. Center assignments are specified on the proposal review sheet.

Fig. 4. F&A Return Summary

Deans/ Directors	10% Based on credit allocation among researchers and researcher appointments		
Center or PI	Designated Center 6%	Non-Designated Center 4%	PI 4%
Total Returned	16%	14%	14%

Designated centers on the Lawrence campus are:

- Biodiversity Research Center
- Center for Research on Learning
- Higuchi Biosciences Center
- Information & Telecommunication Technology Center
- Hall Center for the Humanities
- Life Span Institute
- Center for Environmentally Beneficial Catalysis
- Center for Remote Sensing of Ice Sheets

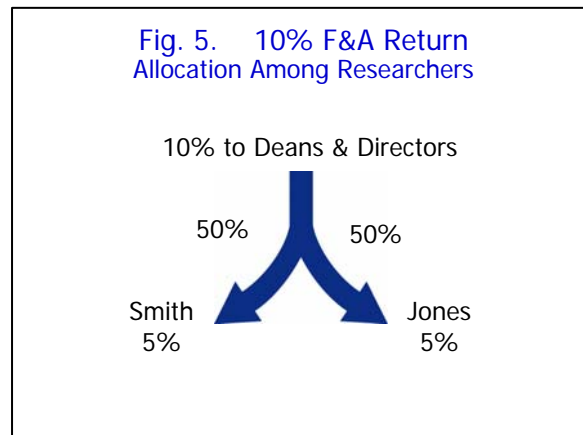
If there is no assigned center, four percent of the collected F&A is returned to the principal investigator. F&A is not returned to co-principal investigators.

10% Return to Deans and Directors

Ten percent of the collected F&A on each project is returned to deans and center directors. If all investigators have appointments within the same school, college, or center, then 10% of the F&A is returned to the dean or director of that unit. However, if investigators have appointments in different units, then the 10% is split among the units based on the investigator allocations specified on the proposal review sheet and investigator appointments. The calculation of this return is a two-step process based on the allocation of credit among investigators and the appointments of each investigator.

(1) Allocation among investigators. Academic credit for multiple investigator projects is allocated among the principal investigator (PI) and co-principal investigators based on their relative contributions to the project as specified by the investigators on the proposal review sheet. This allocation is made by the investigators using any criteria they deem appropriate. If no allocation is specified on the review sheet, then a default allocation is used: 90% of the credit is divided equally among all investigators, including the PI, and the remaining 10% is added to the PI's share.

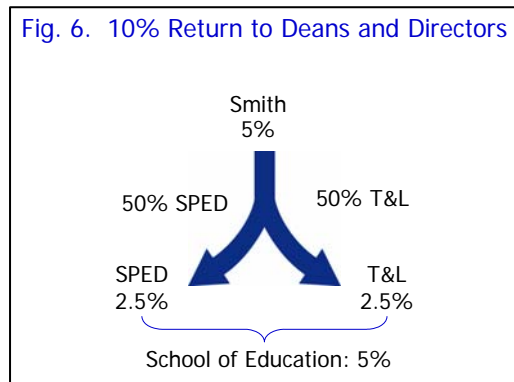
For example, if Smith and Jones chose to share the credit equally, the 10% F&A return to deans and directors would be split equally between these investigators (Fig. 5).



(2) Allocation based on ALL appointments.

Each investigator's share of the F&A return is distributed to the dean or director of the unit in which he or she has an appointment. If the investigator has more than one appointment, then the total is allocated proportionately.

Split appointments. Suppose that Smith had appointments in two academic units: a 50% appointment in Special Education (SPED) and a 50% appointment in Teaching and Leadership (T&L). Because SPED and T&L are both in the School of Education, Smith's 5% share of the F&A return would go to the Dean of the School of Education (Fig. 6).



However, suppose that Smith had appointments in both SPED and Applied Behavioral Science (ABS). Because SPED is in the School of Education and ABS is in the College of Liberal Arts and Sciences, the deans of these two units would equally divide Smith's 5% F&A return (Fig. 7).

Fig. 7. 10% Return to Deans and Directors

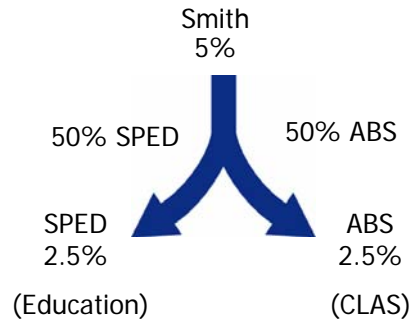
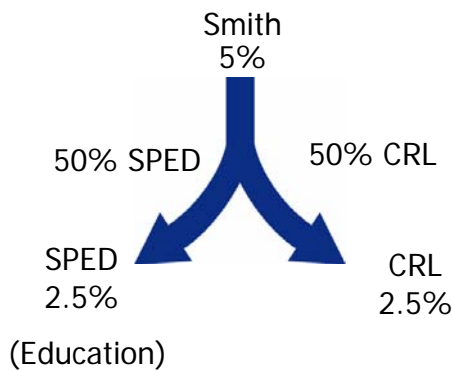


Fig. 8. 10% Return to Deans and Directors



Non-academic appointments. Academic and non-academic appointments are treated equally in F&A return calculations. If Smith had a split appointment between an academic unit (e.g., SPED) and a research center (e.g., CRL), his/her 5% F&A return would be equally divided between these units (Fig. 8).

Courtesy appointments. Courtesy appointments are not considered in F&A return calculations. If Smith's appointment was 100% in CRL and he/she had a courtesy appointment in SPED, Smith's 5% F&A return would go to CRL (Fig. 9)

Fig. 9. 10% Return to Deans and Directors

