

## APPENDIX E.

### POLICIES AND PROCEDURES FOR RESEARCH AND SPECIAL PROGRAMS

#### 1. NON-STATE SUPPORTED RESEARCH AND PROGRAMS.

1.1 PROPOSAL DEVELOPMENT. All sponsored research and programs are based on agreement to perform certain functions by members of the University. Therefore, a formalized application and acceptance procedure has been established. This involves presentation of ideas, negotiation of terms of the contract, acceptance, and structure for administering the project at hand.

1.2 PROPOSALS. All sponsored programs must have a principal investigator or director, who is free to select the program's subject matter within the limits of institutional policy. The investigator/director should devote a significant portion of time to the contracted undertaking and assure the agency in question of performance in the successful completion of the project.

1.3 PROPOSAL PREPARATION. Proposal preparation is largely the responsibility of the principal investigator/director. However, the Office of Graduate Studies and Research and its support services are readily available for the efficient production of proposals. Basic services of the Office of Graduate Studies and Research include typing, graphics and assistance with budgeting and cost projections in conjunction with the research analyst of the Vice President for Finance and Operations. In addition, information concerning agency guidelines and funding programs are available through this office and in the reference section of the library.

A proposal checklist (available from the Office of Graduate Studies and Research) for the preparation of a proposal should be completed before a final draft is submitted to assist principal investigators in preparing the proposal as well as to assist Department Chairs, Deans, and administrators in evaluating the administrative and budgetary aspects of these proposals. The checklist includes many factors which are easily overlooked at the time a proposal is prepared but which can cause annoying problems later.

All submitted proposals must have an approval form for Proposals for Special Projects. These forms may be obtained from the Office of Graduate Studies and Research.

1.4 REVIEWS. All proposals must be reviewed and formally approved by Department Chairs, Deans, Directors and the Provost and/or delegated representative. All proposals must be in the Office of Graduate Studies and Research a minimum of 10 working days prior to the deadline specified in the contract or grant. Factors considered in the proposal review may include:

- a) Eligibility of the Investigator--The individual initiating the proposal must be eligible under the policies of the institution to be a principal investigator.
- b) Educational Component--The proposal should include an educational component that contributes to the academic programs of the institution and provides training and support of students. The proposal should assist in achieving the objectives of the department and the College.

- c) Freedom to Publish--Questions regarding the investigator's right to publish his or her findings should be ascertained.
- d) Presence at the Institution--Will the proposed activity require the investigator to be absent from the institution for extended periods of time? Is such absence warranted, and will this absence be approved by the Department Chair and Dean?
- e) Percentage of Effort--The amount of effort committed by the investigator to the project should be consistent with other duties.
- f) Human Subjects--If the proposed research or project involves the use of human subjects, does the research protocol comply with governmental requirements and with assurances to be filled by the institution?
- g) Care of Laboratory Animals--If warm blooded animals are to be used in the conduct of the research, have provisions been made to insure adequate and humane care in accordance with prescribed institutional and legal standards?
- h) Budget--Is the budget sufficiently detailed, and is it consistent with the subsequent accounting to be rendered for actual costs? Have all the potential cost items been covered in the estimated budget?
- i) Staff Benefit and Indirect Cost Rates--Have the institution's staff benefit and indirect cost rates been properly applied and included in the proposed budget?
- j) Radiation Hazards--In the event that the proposed activity contemplates use of materials or devices that may pose a radiation hazard, such as isotopes or radiation-producing machines, is there evidence of appropriate planning for safety and control?
- k) Safety and Health--Does the proposed project comply with federal Occupational Safety and Health Act and state industrial safety regulations?
- l) Patent Agreements--Have the sponsor's patent terms been considered? Are patent agreements on file for all persons who may be in a position to make, conceive, or first use inventions, improvements or discoveries under the project?
- m) Copyrights and Rights in Data--Have the sponsor's copyright and rights in data terms been considered? Are they acceptable?
- n) Insurance--Does the proposed activity pose any special property or liability insurance questions?
- o) New Staff--Will the proposed activity require new staff? Would such expansion be consistent with the institution's policies?
- p) Space and Equipment--Can the project be housed within existing space? Is it adequately equipped? If not, are requirements for additional space and equipment consistent with the department's priorities?
- q) Cost-Sharing--Is any cost-sharing commitment made in the proposal accurate and consistent with the institution's plans and budgets?
- r) Long-Term Commitments--Does the proposal commit the institution to continue the proposed activity beyond the period of sponsor funding? If so, do budgeting and planning appropriately support such commitments?

1.5 FINAL APPROVAL AND SUBMISSION. After final review and approval have been obtained, the proposal information is returned to the Office of Graduate Studies and Research for submission to the contracting or sponsoring agency.

- 1.5.1 **Negotiation.** During the application process for support for extramural sponsors, negotiations often take place at various stages to establish the scope of the activity and terms and conditions under which the work will be performed. These negotiations often take place between principal investigators and an agency official during the preliminary stages of the proposal development and should not involve specific administration of funds received by the institution. These negotiation aspects are the special concern of the Office of Graduate Studies and Research.

Once the formal proposal is submitted, the terms and conditions governing work are established in negotiations between the sponsoring agency and the authorized individuals in the University. The responsible administrative officer will take the initiative in requesting the sponsor to modify provisions to accommodate policy needs of the institution, again coordinating, when appropriate, with the person responsible for conduct of the project and with the other officials of the University.

All salaries and wages of research personnel will correspond to the existing salary and wage policies of the University. Any exceptions must be approved by the Department Chair, Dean, and the appropriate Vice-President in the rough draft proposal writing stages. If, for example, the principal investigator proposed to devote one-half time to a project and the Department Chair and Dean concur that the research project will require one-half time for one year, the principal investigator may list one-half of the yearly salary rate in the grant application. If the grant application is for more than one year, or overlaps a calendar year, the salary for the second year may not exceed the annual salary rate of the principal investigator plus an anticipated salary adjustment. Laboratory and research assistants are to be compensated at established University rates. Exceptions must be justified and approved by the Associate Provost for Research.

- 1.6 **ACCEPTANCE.** Most grants do not require acceptance by a University official. Based on the submitted proposal, the grant becomes a binding contract when awarded. However, some grants and all contracts require acceptance by an authorized official; the Associate Provost for Research has this responsibility.

Notification of the award of the grant shall be immediately relayed to the Office of Graduate Studies and Research. The recipient of a contract or grant shall file with the Office of Graduate Studies and Research, as they become available, all contracts, forms, and correspondence which materially alter the basic contracts and responsibilities of the institution.

The requested number of copies of all reports by a particular agency should be submitted to the Office of Graduate Studies and Research at least 14 days prior to the deadline date required by the grantor. All materials submitted to the Office of Graduate Studies and Research will be forwarded to the proper offices of the University for review and approval.

- 1.7 **IMPLEMENTATION.** Following the award to the institution, the principal investigator will be furnished a copy of the complete agreement to insure understanding of its provisions. The University, through its established procedures in the Finance Office, will authorize the principal investigator/director to commit funds against the project. Responsibility for compliance with terms of the contract rests first with the principal investigator. Monthly budget print-outs will be provided to the Associate Provost for Research.

- 1.8 PATENT, COPYRIGHT AND ROYALTY AGREEMENTS. All specific matters pertaining to patents, copyrights, and royalties must be in accord with current policy as approved by the Board of Regents. See Appendix D, Patent and Copyright Policy, of this *Handbook*.
- 1.9 DELINQUENT REPORT POLICY. The project director/principal Investigator is expected to comply with the conditions of the award as specified by the sponsor and agreed by the institution. Faculty are expected to submit reports as required by the sponsor and meet deadlines for those reports. Faculty with delinquent reports shall not be permitted to submit proposals for additional sponsored projects until past due reports have been submitted.

## 2. STATE-SUPPORTED RESEARCH AND SPECIAL PROGRAMS.

- 2.1 ORGANIZATION AND ADMINISTRATION. Faculty Research Grants are administered through the Office of Graduate Studies and Research. The Associate Provost for Research is responsible for the administration of all such grants funded through the University budget. In addition, the Dean serves as chairman of the Research Council. The Dean's responsibilities include communication with the faculty regarding deadlines for the submission of proposals, consultation with faculty members engaged in the preparation of proposals, acceptance and the administration of projects including the handling of progress reports and final reports. The Associate Provost for Research also prepares the research budget and supervises all aspects of the faculty research programs.

A Research Council is appointed to award all grants. The membership of this committee consists of a regular member from each College of the University. This Council recommends policies and procedures, determines priorities for use of funds, reviews all submitted proposals, and makes grant awards. To conduct its business the Council meets at regular intervals throughout the academic year.

### 2.2 GENERAL REQUIREMENTS.

#### 2.2.1 Eligibility.

- a) All full-time members of the faculty and professional staff are eligible to apply for a research grant.
- b) If any eligible member of the University has had a previous research grant from state funds, terminal or progress reports on such research projects must have been submitted and approved by the Office of Graduate Studies and Research.
- c) A proposal by a member who has a thesis or dissertation in progress, but not completed, will not be approved.

#### 2.2.2 Use of Funds.

Research grants are intended to support research which will be completed within the year during which application is made. These grants are made for no more than one year, and application for renewals are considered on their merits.

## 2.3 PROPOSALS.

### 2.3.1 Submission.

Each fall and spring semester, written notice is sent to all faculty members stating that applications for research grants are being accepted for the ensuing academic year and indicating the spring deadline for submitting applications. Faculty members who wish to submit proposals may obtain an application form from the Office of Graduate Studies and Research or any College representative serving on the Research Council. Although this cover form is standard for all proposals, it permits each investigator to use initiative in making the presentation. The investigator should visit with the member of the Research Council representing the College who will review the proposal before its submission to the Council and will present the proposal to the Council when it is in session. After consultation, the investigator is requested to submit twelve (12) copies of the proposal for the members of the Research Council.

### 2.3.2 Procedure for Processing Applications.

The Associate Provost for Research distributes copies of the project proposals to the members of the Research Council for their study. A subsequent meeting of the Council is called to make disposition of the proposals which have been submitted. In this meeting, the following actions may be taken:

- a) The proposal may be funded.
- b) The proposal may be tabled and the investigator requested to provide further information.
- c) The proposal may not be funded.

No specific statement can be made as to what the Council will or will not approve. Generally the Council looks favorably upon proposals that are pilot efforts to investigate the feasibility of larger efforts that could qualify for external sponsorships. Thus, to some extent the Organized Research funds are considered to be "seed capital." This should not be construed to mean, however, that only proposals for research which hold promise for future extra-state support will be considered by the Council. In general, the Research Council is not likely to look favorably upon research proposals which include renewal of seeding efforts that have not been fruitful, exclusively summer research efforts, travel to meetings, and all requests that can be justifiably handled through other sources.

The Research Council will apply the following guidelines in the evaluation of faculty research proposals:

- a) The individuality of the proposal and its significance to the researcher.
- b) Evidence of interdisciplinary project planning, where appropriate.
- c) The use of sound research methodology and/or creative processes.
- d) The reasonableness of the budget request relative to the proposed project.
- e) Evidence of the applicant's awareness of related research in his or her field.
- f) Evidence that the proposal may result in publication or some other creative product of professional merit.

- 2.4 PROCEDURES FOR GRANT HOLDERS. Monies allocated for faculty research are state monies and are distributed through the University budget. Therefore, procedures for expenditures are governed by the same regulations as all other University operations in which state funds are involved. To facilitate the administration of the faculty research program, the following procedures are routed through the Office of Graduate Studies and Research.

2.4.1 Expenditures.

On April 15, the Research Council will review progress made by each Research Council grantee. If, in the opinion of the Council, progress has not been satisfactory in terms of the original proposal, the grantee will be invited to review his or her summer research budget.

Normally, state research funds will not be utilized for extended travel to places outside the state. For this purpose, extended travel is defined as a trip that requires more than seven days at destination. Exceptions to this must have the approval of the President of the University.

All purchases must be approved by the University purchasing agent. No purchase will be paid by the University unless the purchase order carries a University purchase order number. Funds may not be used to purchase duplications of University owned equipment already available to the researcher. Upon request, a list of equipment on inventory to the Office of Graduate Studies and Research and available to researchers will be provided by the Associate Provost for Research.

The employment of anyone, except full-time faculty members, must comply with the Federal minimum wage. Notice of any increase required by law will be provided.

2.4.2 Reports.

2.4.2.1 Progress Reports.

Twelve copies of a written progress report will be submitted by January 15 and April 20 by each recipient of a research grant for evaluation by the Research Council. This report may be a brief but comprehensive written description of the status of the project. No standard form is required. This report, together with other relevant materials, becomes a part of the permanent record of the project.

2.4.2.2 Final Report.

Twelve copies of a formal terminal report are required of each Faculty Research Grant recipient. This is a written account which contains a summary of the project, its findings, and its conclusion. Two copies of an unpublished manuscript, resulting from the supported research, will satisfy this requirement. A proposal for a new project submitted by a former recipient will not be considered until the Associate Provost for Research has approved the final report of the prior project.

2.4.3 Patent, Copyright, and Royalty Agreements.

All specific matters pertaining to patents, copyrights, and royalties must be in accord with current policy as approved by the Board of Regents. See Appendix D Patent and Copyright Policy of this *Handbook*.

#### 2.4.4 Publications.

Recipients of faculty research grants are encouraged to submit articles resulting from their research projects to professional journals. It is required that acknowledgment of the fact that project support was conducted through a Lamar University Organized Research Grant be given in the article.

#### 2.4.5 Return of Equipment.

Equipment purchased with research funds is the property of Lamar University and will be on the inventory and subject to the jurisdiction of the Office of Graduate Studies and Research. When an individual completes the use of a piece of equipment, the Associate Provost for Research should be notified. Equipment on inventory to the Office of Research Sponsored Programs and assigned to a faculty member is to be maintained out of his or her research budget during the period the research is being conducted and subsequently by the department in which the equipment may be placed by the Associate Provost for Research.

### 2.5 FISCAL MATTERS, REPORTING REQUIREMENTS AND SALARIES.

#### 2.5.1 Expenditures.

All funds received for a contract or grant shall be deposited in a special University account designated for the purpose by the Finance Office and each requisition for expenditure of these funds shall be directed to the Purchasing Agent. Each requisition for expenditure of these funds shall indicate against which item in the approval budget the requisition is to be charged. All projects, grants, and special programs are subject to University regulations concerning federal compliance.

#### 2.5.2 Reassigned Time and Salary.

It is the policy of the University that the first duty of a member of the faculty is to be a highly competent teacher. Research work, projects, and special grant programs should not interfere with teaching or assigned University duties. However, faculty members are permitted to conduct research during the academic year on reassigned time when the research project is able to compensate for such reassigned time. The amount of reassigned time will be determined with the approval of the appropriate Department Chair, Dean, and Vice President. Reassigned time related to research programs should be negotiated at least two months prior to the beginning of the semester or term in which the research shall begin.

The compensation rate for work on special projects is pro-rated and based on the faculty member's nine month salary. It may not exceed the proportionate share of the base salary for any given period. Compensation for services performed outside of the nine-month academic year is permitted (e.g., all or part of a summer term), with the rate of pay based on the regular nine-month salary rate. For example, assume a faculty member has a nine-month base of \$45,000 (\$5,000 per month) and has 25% FTE reassigned time during the Fall and Spring semesters plus three months of 100% FTE summer employment through a sponsored project. In this example, the nine-month salary would remain at \$45,000 and an additional \$15,000 would be paid for the summer (3 months at the \$5,000/month base).

It is the policy of Lamar University not to provide additional compensation above 100% FTE to faculty and professional/administrative employees in sponsored

projects except in unusual circumstances. For those engaged in sponsored projects, additional compensation in excess of 100% FTE may be granted only with advanced approval from both the Provost and the sponsoring agency, and then only when it can be clearly demonstrated that, because of an individual's specialized knowledge or expertise, he/she is the most appropriate individual to provide the services. Further it must be clear that the services are outside the scope of normal job responsibilities and cross college or departmental lines and/or occur at a separate or remote site.

Since intra-university consulting is assumed to be undertaken as a University obligation requiring no compensation in addition to full-time base salary, faculty members who function as consultants or otherwise contribute to a sponsored project conducted by another faculty member of the same institution should receive no financial compensation through the sponsored project unless the project budgets for their reassigned time. Further, as noted above, this additional compensation should be based on the normal nine-month pay rate and the FTE should not exceed 100% except in unusual circumstances.

In accordance with federal and state tax laws, the University deducts from each paycheck the appropriate withholding tax. As individual circumstances require, the University will make payroll deductions for social security tax, annuity premiums, medical insurance, and other such deductions as may be required.