



Angelo State University
Operating Policy and Procedure

OP 56.01: Sponsored Research Contracts and Grants

DATE: December 21, 2016

PURPOSE: The purpose of this Operating Policy/Procedure (OP) is to describe the purpose and function of research contracts and grants at ASU in compliance with Chapter 04 of the *Regents' Rules*.

REVIEW: This OP will be reviewed in March every five years, or as needed, by the dean of the College of Graduate Studies and Research and the director of sponsored projects with recommendations for change submitted to the provost and vice president for academic affairs by March 15.

POLICY/PROCEDURE

1. Authority

[Section 04.07.3, Regents' Rules](#)

The Board of Regents of the Texas Tech University System has directed Angelo State University to “provide a conduit through which [sponsored program] projects are submitted” in its operating manuals. The Board defines sponsored program projects as “grants, contracts, and cooperative agreements from both the public and private sectors which support research, instructional, and service projects.”

2. General Statement

Angelo State University encourages faculty and professional staff to pursue external funding opportunities that will complement the mission of the university. The coordination of all faculty research contracts and grants is the responsibility of the dean of the College of Graduate Studies and Research and the director of sponsored projects, who will be responsible for review of research requests or proposals prior to submission. All requests or proposals requiring disbursement of funds by the university must be reviewed by the dean of the college and the vice president for finance and administration prior to submission. The Controller’s Office is responsible for the receipt, disbursement, and accounting of all research funds.

3. General Considerations

- a. Financial Considerations. Angelo State University encourages faculty members and research scientists to seek support for appropriate sponsored projects related to teaching, research, and public service, provided such sponsored projects include sufficient financial support to cover the costs to the university in administering the project. Faculty members

and research scientists interested in making application for a sponsored project should discuss the financial considerations to be included in the proposed budget for the project with the director of sponsored projects prior to initiating a proposal for the project.

- b. **Integration of Teaching and Research.** The university recognizes that research under sponsored projects contributes significantly to the academic stature, achievement, and capability of the faculty in fulfilling their responsibilities as teachers and public servants. To that end, the university seeks to ensure the close integration of research and teaching, including the employment of students in sponsored projects and the use of research facilities for instructional purposes. Faculty members seeking outside funding must consult with the chair of their department and the dean of the College of Graduate Studies and Research to determine the allowable allocation of time between the grant or contract activity and instruction.
- c. **Faculty Salaries.** Academic year and summer salaries, whether for full or partial release time, must be pre-approved by the provost, graduate dean, dean of the college, and the chair of the relevant department. The academic year salary is to be based on the individual faculty member's regular compensation for the continuous period that constitutes the basis of the faculty member's salary, prorated for the released time requested. During the summer months or other periods not included in the period for which the base salary is paid, salary is to be budgeted at a monthly rate not in excess of the base salary divided by the number of months in the period for which the base salary is paid. Fringe benefits must be included in the grant as a direct cost; exact dollar figures are to be obtained from the director of sponsored projects.
- d. **Faculty Initiative.** The basic responsibility for originating a proposal and managing the project lie with the individual faculty member or research scientist. The principal investigator (or project director) has many university resources at his/her disposal to assist him/her in the preparation of a proposal, the management of the project, and the termination of the project. Information on university assistance can be obtained from the director of sponsored projects.
- e. **Restrictions on Publication.** The university encourages the general dissemination of knowledge acquired through sponsored projects. Where necessary, and with specific justification, restrictions on publication may be permitted in the interest of national security or proprietary concerns of the sponsor.
- f. **Benefits of Research.** While it encourages projects sponsored by commercial and industrial organizations, the university, as a public institution, cannot engage in projects which involve continuing large-scale production or manufacture.
- g. **Social Action and Advocacy.** The university authorizes sponsored projects which seek to discover and disseminate knowledge in the areas of human rights and welfare. However, in order to remain free to continue the quest for knowledge, the university cannot assume the role of an advocate or social action agency.

4. Administrative Review and Approval of Sponsored Projects

- a. All proposals to sponsoring agencies involving either monetary or non-monetary grant or contract requests must be reviewed and approved by the university administration before transmittal to the sponsoring agency. It is the responsibility of the director of sponsored

projects to review all research proposals to make certain that they are well prepared, that they conform to university policies, that they are consistent with the educational objectives of the university, and that the budget and related fiscal provisions of the proposals are accurate. A proposal, after preparation and initiation by the individual faculty member, must be reviewed and approved in turn, by:

- (1) Director of Sponsored Projects (preliminary review)
 - (2) Department Chair
 - (3) Dean (or Director)
 - (4) Dean of the College of Graduate Studies and Research
 - (5) Vice President for Finance and Administration (fiscal/legal)
 - (6) Provost and Vice President for Academic Affairs
 - (7) President (if request is for \$500,000 or more)
 - (8) Other institutional officials as needed
- b. All proposals must be accompanied by the "Grant Approval Form." This form is due to the director of sponsored projects no later than five (5) business days prior to the proposal due date. The summary information contained on the completed form will facilitate administrative review and approval, and thus, help expedite processing. Copies can be obtained on the Sponsored Projects' Web site. Copies of all correspondence relative to sponsored projects and research grants must be sent routinely to the offices of the dean of the college and sponsored projects.
- c. The director of sponsored projects will notify the relevant department chair and dean, the dean of the College of Graduate Studies and Research, the vice president for finance and administration, the provost and vice president for academic affairs, and the president when contracts are awarded. The Office of the President shall send an acknowledgment letter to the grantor if appropriate.

5. Collection of Contributions from Federal or Private Sources for State Retirement System

Vernon's Texas Civil Annotated, Government Code § 825.406 provides:

- a. *If an employer applies for money provided by the United States, an agency of the United States, or a privately sponsored source, and if any of the money will pay part or all of an employee's salary, the employer shall apply for any legally available money to pay state contributions required by Section 825.404 or 830.201.*
- b. *When an employer receives money for state contributions from an application made in accordance with Subsection (a), the employer shall immediately send the money to the retirement system for deposit in the state contribution account.*

- c. *Monthly, employers shall report to the retirement system in a form prescribed by the system (See Section 825.406 c, d, and g).*

6. Responsibilities of the University and the Principal Investigators or Project Directors for Sponsored Projects and Research Grants

- a. When the university accepts a grant or contract from an outside sponsoring agency, certain legal and ethical obligations are stated or implied in the document of agreement. The university becomes responsible for the proper performance of the stated work and for fiscal management of the funds received from the sponsor. All funds received by the university for sponsored projects or research grants carried on by any department and/or individual staff member, regardless of the source of funding or the purpose of the grant, are the property of Angelo State University and will be administered according to provisions of the grant and under the regulations covering other financial resources of the university.
- b. Sponsors may require that a university administrator, in addition to the principal investigator or project director, be named to oversee the project with the reasonable assurance that the agreed responsibilities will be discharged faithfully and prudently in the mutual interest of the sponsor and the university and over the full period of the award.
- c. In order to implement these obligations, only individuals in the categories shown below are authorized to be principal investigators or project directors for sponsored projects and research grants. Only in rare instances will others be authorized, and then only with the prior written approval of the president upon recommendation of the provost and vice president for academic affairs and the dean of the College of Graduate Studies and Research. Individuals authorized to serve as principal investigators or project directors include:
 - (1) Members of the faculty in the following ranks (excluding visiting faculty): instructor, lecturer, assistant clinical professor, associate clinical professor, clinical professor, assistant professor, associate professor, and professor,
 - (2) Professional staff members, and
 - (3) Research scientists at the Management, Instruction, and Research Center.
- d. News releases pertaining to all research projects that are being conducted by university personnel will be channeled through the Office of Communications and Marketing.

7. Final Narrative and Expenditures Report

Most agencies sponsoring research grants require a final narrative and expenditures report on the project upon its conclusion. Federal regulations also require that the university retain fiscal records on federal grants for the purpose of a possible federal audit, and all grants are subject to audit by the university, the Texas Tech University System, and the State Auditors. It shall be the responsibility of the principal investigator to submit the final narrative and expenditures report to the director of sponsored projects and the Controller's Office for review and approval before it is sent to the sponsoring agency.

Attachment A: [Grant Approval Form](#)