

## 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.



- 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

- 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.

2.4 PROCEDURES FOR GRANT HOLDERS. Monies allocated for faculty research are

#### 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

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.