

Oklahoma State University Policy and Procedures

UNIVERSITY RESEARCH

4-0105
RESEARCH
JULY 2005

POLICY

1.1 Research is an essential part of the mission of the University, and the University endeavors to provide an environment in which its constituents can discover, critically examine, preserve, and transmit knowledge, wisdom, and values that will help ensure the survival of present and future generations, as well as enrich the quality of life for society.

1.2 The University must be cognizant in its research efforts of pressing national problems which require mission-oriented or applied research efforts; at the same time, the institution must also understand the great need for a well-balanced program of non-mission-oriented research for the discovery of new knowledge which will lead to better understanding and better solutions for future problems.

1.3 Members of the University Community are encouraged to conduct research in their respective areas of competence, to involve students in research whenever feasible, and to carry the research attitude into classroom teaching insofar as possible.

1.4 Insofar as practicable, researchers shall have freedom of choice in determining in a responsible manner what research each shall do. Cooperative efforts are encouraged for problems that are too broad or complex for successful assault by one investigator. In some areas of the University's research endeavors, it is required that an overall program be formulated and approved; consequently, individual projects in these areas must be approved for support as part of the overall program.

1.5 Because the University's own internal funds are and likely will continue to be inadequate to fully support an optimum overall research effort, it must be selective in allocation of funds. Consequently, some programs cannot be supported from these funds. Therefore, researchers in all disciplines are asked to cooperate to the fullest extent in attempting to secure support from outside sources.

1.6 Staff members, students, and other persons who are involved in research are subject to regulations of the University regarding intellectual property (including patents and copyrights) procedures, financial restrictions, and other compliance

requirements. In the case of any grants, contracts, or agreements between the University and another party that impose special restrictions on a project, it will be University policy that, insofar as possible, all involved personnel will be fully informed of the restrictions. In all cases University personnel are to conform to the restrictions when working on the project.

PROCEDURES

Administration of Research

2.1 The President of the University is the chief administrator for all programs of the University. The President has delegated authority in certain areas to vice presidents.

2.2 The University-wide coordination and administration of research is the responsibility of the Vice President for Research.

2.3 The Office of the Vice President for Administration and Finance is responsible for all fiscal administration of the University and is the office of final record and responsibility. All business and fiscal matters, including those for research, resident instruction, and outreach, operate under its control.

2.4 The dean of a college or division exercises general supervision over the research program within the college or division. The Director of the Agricultural Experiment Station in the Division of Agricultural Sciences and Natural Resources is administratively responsible for the research in the Agricultural Experiment Station and the Cooperative Extension Service.

2.5 The department (school) head supervises the overall research program within a department or school.

2.6 The associate dean for research, in most colleges or divisions, is responsible for the administrative coordination of externally funded programs. Each college research office provides support to the faculty in their efforts to obtain external funding and may provide assistance in the administration and fiscal monitoring of externally funded projects/activities.

2.7 Interdisciplinary research normally will be coordinated professionally by a principal investigator or project manager. The allocation of personnel, space, equipment, and money must have the approval of department (school) head(s), the dean(s), and/or the associate dean(s) administratively involved.

2.8 No commitment for the use of University faculty, staff or other resources may be made except by an administrator to whom proper authority has been delegated.

2.9 It is expected that any research or other activity requiring the use of University resources of any nature, which is to be performed for a sponsor other than this University, will be supported by a grant to or a contract with the University to cover all costs, both direct and indirect. Exceptions may be made by the President or the President's authorized representative when it is clearly in the University's best interest. Direct costs are those costs identified specifically with a program or project. These include such categories as:

- A. Salaries and wages, which include annual leave and official holidays
- B. Fringe benefits based on salaries and wages
- C. Overload pay (generally not allowed on research grants)
- D. Consultant costs
- E. Equipment
- F. Supplies
- G. Communications (telephone, postage, cablegrams, etc.)
- H. Travel
- I. Freight charges
- J. Other

2.10 Indirect costs, known as Facilities and Administrative (F&A) costs, are those costs incurred in executing research, training, or public service projects, which are so numerous and varied that they cannot be itemized and identified as direct-cost line items in project budgets. In accordance with University policy, F&A costs or the equivalent administrative costs are required to be included in all budgets (see Policy and Procedures Letter 1-0113 "Cost Sharing in Sponsored Research and Service Projects") to permit reimbursement of the F&A expenses. Components of F&A costs include:

- A. General and administrative expense
- B. Student services expense

C. Indirect departmental administrative expense

D. Library expense

E. Research administrative costs

F. Maintenance and operation of physical plant

G. Depreciation on buildings, non-structural improvements, and equipment.

2.11 F&A costs shall be included as part of the budget in every proposal for a grant or contract, whether collectible or not, so that all parties will be aware of the total cost of each project and the contribution, if any, to be made by the University. Exception to this policy may be made by the President or the President's authorized representative in proposals to certain foundations and other organizations which will not allow F&A costs. Policy and Procedures Letter 1-0112 "Distribution and Use of Funds Received as Facilities and Administrative Cost Reimbursements, Fixed Price Agreement Residuals and Other Recovered Costs" sets out the complete University policy for billing, distribution, and use of F&A cost reimbursement.

2.12 Cost sharing in grants or contracts, when required by the sponsoring agency, must be shown in the budget as a line item. Where possible the amount of cost share should not exceed the total amount of allowable F&A cost reimbursements. Any cost-sharing arrangements must be explained in Part 5 of Routing Form at the time the proposal is submitted and then again when the award is routed for acceptance (see also Policy and Procedures Letter 1-0113 "Cost Sharing in Sponsored Research and Service Projects").

2.13 Upon acceptance of a grant or contract by the President or the President's authorized representative, Grants and Contracts Financial Administration (GCFA) will expedite the assignment of an account code number. When a number has been assigned, the account is open for activity (see Policy and Procedures Letter 3-0253 "Assignment of Account Numbers for Grant and Contract Awards").

2.14 All proposals for the external support of research are to be submitted to the funding sponsor through the office of research administration that serves the area of origin. Proposals that involve personnel and/or other resources in the areas of responsibility of more than one center will be submitted only with full knowledge and consent of all centers involved. Submission will be through the center in which the principal investigator is housed, unless there is an overriding reason to do otherwise. Copies of proposals for the signature of the President, or the President's authorized

representative will be forwarded by use of the approved routing sheet procedure, as will information copies of all proposals which do not require the President's signature. Policy and Procedures Letter 1-0305 "Routing System - Proposals, Grants, Contracts, and Agreements", outlines procedures for using the routing system.

2.15 All grants to and contracts awarded to the University are to be signed or accepted by the President or by a specifically designated representative. The approved routing sheet is to be used for approval and acceptance of all grants and contracts.

2.16 F&A costs on sponsored agreements of less than \$5,000 will not be required. However, proposals to sponsors for grants which are \$5,000 or more are to include all F&A charges, and an effort will be made to have such charges funded. If these charges are not allowable under sponsor guidelines, they will be included in the budget as a University contribution. It should be noted that in this latter case, charges for the use of space and other facilities normally included as overhead can be specifically requested from the sponsor in the budget at the discretion of the dean/research director and in accordance with audited University rates. (See Policy and Procedures Letter 4-0135 "Costing Practices for Sponsored Research and Service Projects" for additional guidance.)

2.17 In cases where it is not possible to negotiate for the full audited F&A cost rate, the direct costing of legitimate expenses such as space rental and other items normally included in the F&A cost package should be requested in the budget if at all possible. Since these costs must be borne by the University, principal investigators should, when it is known in advance that the approved F&A costs are not obtainable, include them in proposals.

2.18 Technical reports which are required by a grant, contract, or other formal arrangement with the University will be submitted following procedures established by each college or division. Information copies of the reports are to be provided to GCFA. All official financial reporting falls under the auspices of GCFA (see Policy and Procedures Letter 3-0251 "Grants and Contracts Financial Administration"). When necessary, a representative of GCFA will coordinate with the appropriate college or division officials before submitting reports on sponsored projects. Researchers are encouraged to maintain close liaison with sponsor representatives, especially professional monitors of individual grants and contracts. However, formal commitments and required documents and communications must be submitted through established administrative channels. Individual research administrators are delegated authority only for preparation and submission of the proposal and any required revision, including the budget (after appropriate University approvals are obtained), and necessary follow up on status of proposal and award.

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