

## EXTERNALLY FUNDED GRANTS AND CONTRACTS

*University Rule 15.01.01.C1 - Revised March 24, 2003*

### 1. BASIC PRINCIPLES GOVERNING EXTERNALLY FUNDED GRANTS AND CONTRACTS

- 1.1 Externally funded grants and contracts must be related to the mission of Texas A&M University-Corpus Christi.
- 1.2 The University must provide for an appropriate balance between grant and contract activity and instruction. Each academic department will be responsible for accomplishing university goals for teaching, scholarship, and service; however, individual faculty members will not be required to have identical commitments to teaching, scholarship, and service. Within a department, some faculty members might contribute greater effort to research than others whose efforts are directed to teaching or service. Such diversity is appropriate so long as the department is holistically accomplishing university goals in the three areas of teaching, scholarly activity, and service. To ensure that these goals are met and that faculty assignments are equitable and reasonable, academic departments will follow the guidelines regarding contributions to teaching, scholarship, and service in these University documents:

12.03.99.C1	Faculty Workload
12.03.99.C1.01	Assignment of Faculty Workload Credit
12.01.99.C1.04	Descriptions of Teaching, Scholarship and Service

- 1.3 The researcher=s freedom to investigate and report results will be preserved and championed.
- 1.4 Continuity of support for general institutional activities will not be endangered by acquisition of research grants and contracts. That Texas A&M University-Corpus Christi maintains control over research and instruction will not be altered by support from outside agencies. Grants and contract timelines must be clearly delineated by the funding agency. Texas A&M University-Corpus Christi will not become dependent upon indirect cost allowances from grants and contracts to support its regular academic program operating budget.

### 2. DEFINITIONS

- 2.1 *Research* refers to scholarly or scientific investigation or inquiry.
- 2.2 *Scholarship* is defined in 12.01.99.C1.04, Descriptions of Teaching, Scholarship and Service.

- 2.3 *Sponsored agreements*, as explained in System Regulation 15.01.01, are projects and activities that are supported (in whole or part) with funds, materials, or other resources provided by sources outside the System. Sponsored agreements are included in the major functions of an institution in a variety of ways. Examples include sponsored instructional and training activities; research activities; other sponsored activities, such as public health projects and community service projects; and other institutional activities, such as the operation of various auxiliary enterprises. Details are provided in System Regulation 15.01.01.
- 2.4 Major types of sponsored agreements include contracts, grants, and cooperative agreements.
- (1) *Contract* – an award by a sponsor to procure goods or services (including research) needed by the sponsor. System Regulation 15.01.01 describes various types of contracts.
  - (2) *Grant* – an award of financial assistance to accomplish a public purpose. Grants may be in the form of cash or property. The cash or property is designated by the grantor to be used for a specific educational, research, or extension project or activity, thus serving a specific interest or objective of the grantor. System Regulation 15.01.01 describes various types of grants.
  - (3) *Cooperative Agreement* – an award of financial assistance, similar to a grant, except that “substantial involvement” is anticipated between the awarding agency and the recipient during performance of the project or activity. “Substantial involvement” means that the recipient can expect programmatic collaboration or participation from the awarding party in the management of the award. Cooperative agreements awarded by federal agencies are usually subject to the same administrative requirements as grants.

### 3. ADMINISTRATION AND OVERSIGHT

- 3.1 The University has a formal agreement with the Texas A&M Research Foundation (TAMRF) to administer a variety of federally sponsored programs on behalf of the University.
- 3.2 Sponsored programs may also go through the University’s Office of University Research and Sponsored Programs or other organizations (e.g. TEES, TAES). Such programs must have the prior review and approval of the Dean of Graduate Studies and Associate Vice President for Research and Scholarly Activity.
- 3.3 The Dean of Graduate Studies and Associate Vice President for Research and Scholarly Activity supervises the Office of University Research and Sponsored Programs, oversees pre-award grant and contract functions, and provides support for the University’s federal initiatives. He/she monitors university sponsored research

and research conducted through TAMRF and other agencies such as TEES and TAES. In addition, he/she will help to ensure that externally funded grants and contracts relate to the stated mission of the University and are administered in accordance with the basic principles stated earlier and in accordance with System policies and regulations. The Dean of Graduate Studies and Associate Vice President for Research and Scholarly Activity will provide an annual report on grants and contracts to the Provost and Vice President for Academic Affairs. The Provost will provide copies of the report to the President and the other members of the President's Cabinet.

- 3.4 The University is responsible for the fiscal reports to the sponsoring agencies, unless TAMRF administers the grant.

#### 4. COMPENSATION OF FACULTY AND STAFF

##### 4.1 Governing Policy

Compensation of faculty and staff members who participate in sponsored research and other sponsored agreements is governed by System Policy 31.01, Compensation.

##### 4.2 Salary Funded in Accordance with Portion of Time Spent on Duties

As stated in System Regulation 31.01.01, Compensation Administration, the base salary of a full-time employee shall not be increased by virtue of funding from a grant or contract. In such cases, the salary will be funded in accordance with the portion of time spent on assigned duties.

##### 4.3 Temporary Overload Due to External Funding

4.3.1 Faculty may be compensated for an overload if the overload is temporary as a result of notification and receipt of a "Sponsored Programs" grant or contract and if the teaching or other assignments are such that they cannot be managed by another mechanism. A temporary salary supplement for such an overload must be approved in writing by the Associate Vice President for Research and Scholarly Activity. If a temporary salary supplement is allowed, it is anticipated that teaching assignments will be adjusted in the following semester to avoid continuation of an overload.

4.3.2 The rate of pay for an overload will be based on the grant/contract awardee's base salary. Payment for an overload will not change the base salary. The supplement to the salary will normally be up to a limit of 20% of the salary. Extenuating circumstances for variance from the 20% will require a special appeal to the Provost.

4.3.3 The compensation, if appropriate, may be awarded during the summer session.

4.3.4 Compensation from grant/contract funding must be consistent with sponsor criteria.

#### 4.4 Summer Salary from Grant and Contract Funds

The rate of salary paid an employee during a summer session from grant and contract funds will not exceed the salary rate paid the employee for the same or similar services during the preceding long session. (See System Regulation 31.01.01.)

#### 4.5 Internal Faculty Consulting and Professional Services

System Regulation 33.99.07, Internal Faculty Consulting and Professional Services, defines compensable internal consulting and professional services and describes the limited circumstances under which such employment may be permitted. Requests to engage in compensable internal consulting and professional services must be approved in advance by the dean or agency director of both the consultant and the unit receiving the consulting or professional services. Any exception to these provisions requires the advance approval of the President. Compensation for internal consulting and professional services will be at the hourly equivalent of the individual's regular salary. Please see the regulation for additional details regarding compensation and approval of requests to engage in compensable internal consulting and professional services.

### 5. RELATED POLICIES, REGULATIONS, AND PROCEDURES

5.1 Individuals engaged in externally funded grants and contracts must comply with all relevant Federal and State laws regarding sponsored research. They must also follow System policies and regulations on research and related topics, and the procedures of the Texas A&M Research Foundation, when applicable. Among the relevant System policies and regulations are the following:

- 15.01 Research Agreements
  - 15.01.01 Administration of Sponsored Programs--Research and Other
  - 15.01.02 Federal Procurement Integrity Act
  - 15.01.03 Conflict of Interest in the Design, Conduct and Reporting of Sponsored Research and Educational Activities
- 15.99.02 Classified Information
- 15.99.03 Ethics in Research and Scholarship
- 15.99.04 State Review of Federal Grants and Loans
- 17.02 Patents
  - 17.02.01 Management of Intellectual Property
- 25.07 Contract Administration

- 25.07.01 Contract Administration Procedures and Delegations
- 25.99.03 Contracting for External Consultants and Professional Services
- 31.01 Compensation
- 31.01.01 Compensation Administration
- 31.05 External Employment and Expert Witness
- 31.05.01 Faculty Consulting, External Employment, and Conflicts of Interest
- 33.04.01 Use of System Resources for Outside Professional Activities
- 33.99.07 Internal Faculty Consulting and Professional Services
- 33.99.10 Personnel Employed on Contracts with Texas A&M Research Foundation

5.2 University rules and procedures dealing with research include the following:

- 15.01.01.C1.01 Administration of Research Enhancement Program
- 15.99.01.C1.01 Assurance of Protection of Human Research Subjects
- 15.99.03.C1 Ethics in Research and Scholarship
- 15.99.99.C1.01 Institutional Animal Care and Use Committee

Contact for Interpretation: Provost and Vice President for Academic Affairs