

PRESIDENTIAL MEMORANDUM #36

SUBJECT: Grants, Contracts, and Unrestricted Gift Funds

DATE: May 3, 1973

The purpose of this memorandum is to define the general policies for all sponsored and directed research activities involving grants or contracts, to provide procedures for submitting proposals for outside support; and to define the roles of delegated individuals.

BACKGROUND

The Division of Sponsored Research became a legal entity and an integral part of Florida Atlantic University on July 1, 1970. Operating policies and procedures of the Division were established in conformance with those established by the University and the Board of Regents.

For clarification of Grant, Contract, and Unrestricted Gift Funds Policy, the following definitions of terms are submitted:

Grant – An award of funds by an agency (federal, state, municipal, private, corporation, etc.) to the University to conduct a specific project in whole or in part.

Contract – A legally binding agreement between the University and an agency in which the University agrees to accomplish certain objectives within a given period of time and the agency agrees to reimburse costs incurred.

Unrestricted Gift – Any award of funds to the University from any source; which is made with no enforceable restrictions, aside from academic and administrative support; which may be used for any lawful purpose and for which the donor requires no fiscal or program reports.

GENERAL POLICIES

Research Administration

The Dean for Advanced Studies is appointed Director of Research and Director of Division of Sponsored Research until such time as the growth of research activity in the University demands a full-time director. The Director is responsible for the overall administration of the Division of Sponsored Research and is also chairman of the Research Council. The Division of Sponsored Research acts as a central clearing house for all outgoing proposals and all incoming grants and contracts. Only those proposals conducive to promoting the best teaching and research interests of the University and the State of Florida will be transmitted by the Director to the granting agency.

The Director of Research will approve all research, grant, and contract proposals after reviewing them to insure that they conform to University, Board of Regents, and State policies and laws; that they are in proper form for submission to the potential sponsors; and that implied or definite University commitment of funds, space, and personnel can be met. The Director of Research will develop policies and administrative procedures for the effective operation of the Division including the following:

Determine acceptability for patent application.

Maintain available information about potential sources of funds to support University research. Communicate appropriate information about sources of support and research opportunities to the faculty.

Maintain records and information about the research program of the University.

Prepare general reports of research activities required by the Board of Regents and the University.

Prepare the annual budget for operation of the Division.

Recommend to the Director of Procurement approval of those purchases made as exceptions to the usual State Purchasing Commission and University purchasing procedures and policies.

Budget and Accounting Control

The University Controller will be responsible for budget control, record keeping, formal financial reports and accounting for all contract and grant funds. The Sponsored Research Development Trust Fund, which is derived from grant overhead cost sharing, will be accounted for in a separate fund. The University Controller will maintain such records and make such reports as are required by law, by the Director of the Division of Sponsored Research and by acceptable accounting practices. The Controller will be responsible, with the Director of Research, for determining that expenditures are made in accordance with the terms of the grant or contract, as well as with the regulations of the Division of Sponsored Research.

Grant Acceptance and Contract Execution

The President or his designee is authorized, on behalf of the Board of Regents, to enter into and execute contracts and to accept grants for Research.

Sub-contracts, expenditures and other commitments may be made only after official notification of the grant award is made to the University, unless the contract carries the following or its equivalent; "This contract (or agreement) is contingent upon receipt by Florida Atlantic University of funds from _____ (Granting

Agency) for _____ (Grant Title).”

Solicitation of bids should be made to qualified firms, agencies or persons. Advice and assistance of the Director of Procurement should be utilized by the principal investigator. The best and lowest bid is to be selected. The contract is to be signed by the principal investigator, the dean of the college concerned and the President or his designee.

Proposal Procedures

Support for sponsored research can be awarded to individuals on the faculty for specific projects, to an operating division of the University, or to the University as a whole.

Requests for outside support may be made by faculty members when approved by University officials as designated on the form Record of Research Grants. All proposals are to be submitted with the Record of Research Grants (Form #SR 1 REV. 2/73), Attachment 1. Cost-reimbursement research and development contracts are administered through a uniform Agreement (Form #SR 2), Attachment 2. All proposals for grants or contracts for research, training, equipment, conferences and facilities (i.e. ALL OUTSIDE SUPPORT) should be prepared and processed as follows:

Proposals are prepared in the form and quantity required by the sponsoring agency. Two additional copies are required by the Division of Sponsored Research for University records.

The Record of Research Grants (SR 1 REV. 2/73) must be completed and approved before the proposal is forwarded to the funding agency. This form is available from the Division of Sponsored Research.

When the research requires a contractual agreement, the Agreement (SR 2) contract form must be completed.

Requests in excess of \$100,000 per year must be submitted through the Division, to the Board of Regents for approval, 30 days prior to submitting the proposal to the funding agency. Blank abstract forms for this purpose are obtained from the Division of Sponsored Research.

Notice of Approval or Disapproval

The principal investigator will receive notification from either the funding agency or the President's Office regarding approval or disapproval of the proposal.

Conflict of Interest

Accounting procedures used must assure that funds are expended for the intended purpose and that all services which are required in return for these funds are

supplied.

Individual faculty members are prohibited from engaging in sponsored research which presents a conflict of interest.

LIMITATIONS AND EXCEPTIONS

Casual sales of services or products either for profit or cost are excepted from Grants, Contracts, and Unrestricted Gift Funds Policy.

Grants may include amounts transferred from Agency funds or Foundation funds to support salaries of permanent employees and to support other expenses that are recorded on the University books.

Amounts deposited as Contracts and Grants or Sponsored Research funds must be pertinent to projects which serve the function of administration and promotion of programs of research, including sponsored training programs, of the institutions where the funds are located. Universities are not authorized to, and shall not, accept grants or contracts which do not promote such programs.

The choice of instrument (i.e. grant or contract) is usually the prerogative of the sponsor.

It is the responsibility of the principal investigator or project director of a grant or contract to provide whatever reports are required by the sponsoring agency.

Routine scientific and engineering testing, which is unrelated to the academic program, is generally accepted as having little justification for inclusion in a university program.

Kenneth R. Williams
President

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