

FSU-5.088 Division of Sponsored Research.

~~(1) General Policies.~~

(a) The following ~~general policies~~ govern the operation of the Division of Sponsored Research, ~~now the Office of Graduate Studies and Research~~ under the direction of the ~~Provost, Graduate Studies and Research~~, hereinafter called the ~~Graduate Research Office~~ Vice President for Research.

1. The ~~Graduate Office of the Vice President for Research-Office~~ is an integral part of the University. Operating policies and procedures as they pertain to sponsored research, development, and training programs shall conform to established ~~regulations and~~ policies of the Board of ~~Regents~~ Governors.

2. One of the general functions of the ~~Graduate Office of the Vice President for Research-Office~~ is to administer and promote the sponsored research program inclusive of sponsored training and development programs and to support the total research program of the University in a manner which assures efficiency and effectiveness, producing the maximum benefit for the educational program of the University and maximum service to the State of Florida. In the performance of this general function, the ~~Graduate Office of the Vice President for Research-Office~~ is responsible, ~~under the Provost, Graduate Studies and Research~~, for:

a. ~~Arrangements for Authorizing~~ the conduct of sponsored research, development, and training programs involving the services of University personnel or the use of University facilities.

b. Negotiation of contracts and grants with sponsors.

c. Maintenance of records related to the activities of sponsored research, development, and training programs.

d. Budget preparation, management of the permanent Sponsored Research Development Fund, and fiscal reporting.

e. Supervision of personnel employed by the ~~Graduate Office of the Vice President for Research-Office~~.

f. Cooperation with other divisions and departments of the University and with other State universities and the Board of ~~Regents~~ Governors to assure that the sponsored research, development, and training programs are effectively advancing the educational and service objectives of the university system.

3. All monies deposited in the permanent Sponsored Research Development Fund which are not required to pay for direct costs of contracts and grants shall be used to pay the cost of operating the Division of Sponsored Research ~~section of the Graduate Research Office~~ and to support other research programs in any area of the institution. ~~The cost of operating the Division of Sponsored Research shall include direct costs and expenses incurred by the division but shall not include use charges on University buildings, custodial and maintenance expense, utilities expense, expenses for general administration, other indirect costs or expenses incurred or paid by the University.~~

4. All expenditures for the Sponsored Research Development Fund shall conform to the terms and requirements of the grant or contract under which they are received, as well as to this ~~regulation~~ policy statement and any additional policies, not inconsistent with Board of ~~Regent~~ Governors or University regulations and policies, ~~established by the President.~~

5. Salaries of persons paid in whole or in part from ~~the Sponsored Research Development or Training funds~~ Fund will be within the same ranges for equivalent positions paid from state funds, and equivalent criteria will be applied in determining specific salaries, regardless of source and will conform to general University and Board of ~~Regents~~ Governors regulations and policies in these matters.

a. ~~Salaries for regular employees shall be paid through the University grants and donations trust fund on deposit in the State Treasury.~~

b. ~~Funds for the payment of salaries of these regular employees shall be transferred, as needed, into the State Treasury from the permanent Sponsored Research Development Fund.~~

6. Operating expenses of the ~~Sponsored Research~~ Division of Sponsored Research other than salaries of regular employees, shall be paid from the permanent Sponsored Research Development ~~Funds~~ Fund. These expenses include other personnel services, expenses, and operating capital outlay. Persons appointed or employed for periods of less than twelve (12) months may be considered as temporary employees, and their compensation shall be classified as other personal services.

7. The President is authorized in accordance with ~~Board of Regents~~ policies F.S. § 1004.22(3) F.S. to enter into and execute contracts and to accept grants for research and training.

8. The President is authorized to make such additional policies and procedures as ~~the President~~ he or she deems necessary to the proper conduct of the Division of Sponsored Research under the direct supervision of the ~~Provost, Graduate Studies and~~ Vice President for Research.

(b) Organization and Functions. The Division of Sponsored ~~Research under the direct supervision of the Provost, Graduate Studies and~~ Research is operated as an integral part of the University to avoid any undesirable or inefficient separation of teaching and research. Whenever possible, the administration of supporting services for sponsored research purchasing procurement, shops, maintenance, etc., will be provided within the usual University organization with as little duplication of effort as possible. The principal functions of the Division of Sponsored Research, ~~Graduate Research Office~~ are enumerated in subparagraph 2. above. The duties and responsibilities of the various University Officers are as follows:

1. The President has the final university authority and responsibility for the operation of the ~~Graduate Research Office, Division of Sponsored Research. He or she~~ The President has delegated the authority to execute contracts and accept research, development and training grants for the University to the ~~Provost, Graduate Studies and~~ Vice President for Research.

2. The Provost/Executive Vice President for Academic Affairs and the ~~Provost, Graduate Studies and~~ Vice President for Research coordinate research with the teaching program of the University and provide overall supervision of the research program.

3. The ~~Provost, Graduate Studies and~~ Office of the Vice President for Research reviews and approves all research, development, and training grant and contract proposals. This review determines conformity with University, Board of Regents' Governors and State regulations, policies and laws; that proposals are in proper form for submission to the potential sponsors; and that implied or definite University commitments of funds, space and personnel can be met. ~~He~~ The Vice President for Research:

- a. Administers the University patent regulation and policy.
- b. Maintains information about potential sources of funds to support University research. Communicates information about sources of support and research, development and training opportunities to the faculty.
- c. Maintains records and information about the research program(s) of the University.
- d. Prepares general reports of research activities required by the Board of Regents' Governors and necessary reports for research, development, and training grants and contracts to the University.
- e. Prepares the annual budget for the operation of the ~~Graduate Research Office, Division of Sponsored Research.~~
- f. Approves all purchases made as exceptions to the usual State purchasing procurement procedures.
- ~~g. Recommends to the Executive Vice President action to be taken in the acquisition of computer equipment, and related computer items.~~

~~h.g.~~ Prepares for the President formal requests to the Board of Regents' Trustees for the acquisition of land, construction or remodeling buildings, to be paid for with Sponsored Research Development Funds:-

- ~~ih.~~ Supervises employees of the ~~Graduate Research Office, Division of Sponsored Research~~, except those for whom he has only a coordinative responsibility.
- ~~ji.~~ Supervises the fiscal administration of research, development, and training grants and contracts accounts and the purchasing procurement from grants and contracts accounts.
- ~~kj.~~ Approves appointments of all employees of the Division.

4. The ~~Associate Provost~~ Vice President for Research is directly responsible to the ~~Provost, Graduate Studies and~~ Research President for:

- a. Executive management, administration, and supervision of research, development and training contracts or grants administration.
- b. Establishment and maintenance of operations concerned with proposals to and projects supported by granting agencies.
- c. Liaison between University officials and faculty and sponsoring agencies in matters relating to the preparation of proposals and coordination and supervision of sponsored research, development, or training projects.

d. Developing and directing management control including personnel, operating budgets, property control, procurement, patents and copyrights, and reporting systems for all sponsored research, development and training projects.

~~5. Under the management control of the Associate Provost the Assistant Director of~~ 5. The Vice President for Research will be responsible for budget control, record keeping and accounting for all funds in the permanent Sponsored Research Development Fund. ~~He or she~~ The Vice President will maintain such records and make such reports as are required by law, by the ~~Provost, Graduate Studies and Research, the President, University Comptroller~~ Controller, Board of Governors, and by good accounting practice. ~~He or she~~ The Vice President will be responsible for determining that expenditures are made and reported within the terms of the grant or contract as well as within the regulations of the Division of Sponsored Research.

6. The Vice President for Research will be responsible for developing and maintaining liaison with the Director of ~~Purchasing~~ Procurement Services to expedite ~~the~~ purchases made from funds of the Sponsored Research Development Fund. ~~He or she~~ The Vice President will see that the ~~purchasing~~ procurement requirements of the State and of the granting agencies are met, or if exceptions to the State regulations are to be made, ~~that such have the approval of the Provost, Graduate Studies and Research.~~

(2) Operating Procedures.

(a) The operating procedures of the ~~Graduate Research Office~~, Division of Sponsored Research, shall conform to established regulations and policies and procedures of the Board of ~~Regents~~ Governors and of ~~the~~ Florida State University except where otherwise specifically indicated below.

1. Regulations of Effects of Research, Development, and Training Contracts, ~~Grants and Gifts~~ Grants on the Educational Program of the University and on the Welfare of the State of Florida; Proposals for the solicitation of funds from agencies outside the University will be treated as follows: The principal investigator will arrange with ~~the~~ his Department Head/Chairman/Chair/Director for a schedule of duties that will allow adequate time to prosecute the proposed research, development, or training program, obtain approval that such research, development, or training is in the best interests of the department, of ~~the~~ Florida State University, and the State of Florida, and assurance that the facilities of the department are adequate for the performance of the research, development, or training project or that adequate facilities can be provided.

2. Proposals: Proposals will be further reviewed by the ~~Provost, Graduate Studies and~~ Vice President for Research to see that the research, development, or training program is appropriate to the role and scope of the University and to its goals of service, good teaching and the advancement of knowledge and that the proposed contract or grant is legally and fiscally sound.

3. Administration of Personnel: Appointments of all employees shall be made in accordance with standards applicable to employment elsewhere in the University, ~~except as set forth below, with respect to recruitment and selection; employment contracts; wage and salary administration; fringe benefits, such as holidays and prerequisites; Workers' Compensation; unemployment compensation; retirement; nepotism; outside employment; political participation; loyalty oath and termination of employment.~~ The following exceptions to the above general employment procedures will prevail: temporary personnel at any salary level may be appointed on the Sponsored Research Development Fund without obtaining approval outside the University.

4. Purchasing/Procurement: All of the purchases of the Division of Sponsored Research shall be made in accordance with the regulations, policies and procedures of the ~~Board of Regents for other~~ University ~~purchases~~. Exceptions to the requirements may be made in accordance with sponsored research exemption procedures set out in s. Rule 6C2R 5.0081, F.A.C.S. § 1004.22(7), F.S. and FSU-5.0881.

5. Budgeting and Accounting: The budgeting and accounting of research, development, and training contracts and grants shall conform with the standards and methods of good accounting practices and in accordance with such standards and methods compatible with Agency, and University ~~and State of Florida~~ procedures.

6. Financing, Construction and Use of Physical Facilities: Whenever Sponsored Research Development Funds, either wholly or in combination with other non-state sources, are to be used for the construction or the purchase of real property, a request for the purchase of construction shall be presented by the President to the Board of ~~Regents~~ Trustees for review and recommendation. ~~Such requests will go to the Board of Education when required.~~

Title to all real property shall vest in the University Board of Education Trustees.

7. Inventory of Assets: An inventory of property acquired through the use of Sponsored Research, Development ~~or Training~~ Funds will be maintained in a manner similar to that employed for State fund acquired property. Custodial rights will be vested in the University – not the Division of Sponsored Research.

8. Insurance: Custody of property acquired through the use of Sponsored Research, Development ~~or Training~~ Funds will be vested in the University. It will then be the University's responsibility to protect such property with adequate insurance.

9. Copyrights and Patents: Copyrights and patents will be administered in accordance with regulations and policy prescribed by ~~the Board of Regents and the~~ Florida State University. Any royalties or other revenues accruing therefrom shall be deposited in the permanent Sponsored Florida State University Research Development Fund Foundation for further distribution as prescribed by ~~the Board of Regents and the Florida State~~ University regulation and policy.

10. Legal Aspects of Contracts, and Grants, and Gifts: All research, development, and training contracts and grants shall be examined as to legality prior to their execution. Any contract or grant that may unduly obligate the University in any way shall be referred to the University Council for examination and opinion. If deemed necessary, the documents may be forwarded to the Attorney General ~~for opinion and/or approval and shall be returned by him or her~~ the Attorney General with comments to the Provost, Graduate Studies and Vice President for Research, with a copy of these comments to the Board of Regents, Trustees. Only the President (or his duly appointed representative, the Vice President for Research) may execute or accept research, development, or training contracts and grants.

11. Solicitation of Research, Development, and Training Contracts, and Grants and Gifts: The Provost, Graduate Studies and Vice President for Research or other authorized persons may solicit research, development, or training support, but all proposals for support must conform to University regulation and policy and must have the approval of the Provost, Graduate Studies and Vice President for Research.

12. Negotiation and Execution of Sponsored Research, Development, or Training Contracts and Grants: Negotiations of research, development, or training contracts and grants will be made between the Agency and the University. The Provost, Graduate Studies and Vice President for Research is responsible for the University negotiations but shall consult with the principal investigator/project director in matters affecting the substance of the research, development, or training to be conducted.

13. Fixing and Collecting of Fees, and Payments and Gifts, ~~Deposit of Receipts~~: Fees, Payments and other collections will be made in accordance with existing ~~State, Board of Regents and~~ University regulations and policy. Other fees or payments not covered by grant and contract provisions will be fixed by the appropriate University official, in consultation with the Provost, Graduate Studies and Vice President for Research and the principal investigator/project director. The collection and deposit of such fees will be made by the University ~~Comptroller in the State Treasury~~ Controller or Sponsored Research Administration.

14. Management of the Sponsored Research Development ~~Funds~~ Fund:

a. Budget preparation of the permanent Sponsored Research Development Fund is the responsibility of the Provost, Graduate Studies and Vice President for Research. Fiscal accounting of the Sponsored Research Development Fund as well as the receipt and disbursement of funds shall be done by the Assistant Director of the Associate Vice President for Research under supervision of the Provost, Graduate Studies and Vice President for Research ~~cooperating with the University Comptroller~~. Any funds accruing after payment of all direct costs associated with sponsored research, development, and training programs will be used to promote the programs of research, development, or training within the University in the following ways in accordance with the State of Florida, Board of Regents, Governors, and University law, regulation and policy.

b. The first responsibility of the Division of Sponsored Research will be to provide efficient and effective support of the sponsored research, development, and training programs of the University. Administrative costs of operating the Division of Sponsored Research and of providing necessary supporting services of sponsored research and training programs shall take the first priority for use of indirect-cost funds. After these needs are provided, remaining funds will be used as directed by ~~the Board of Regents and~~ University regulation and policy which shall include providing for the development of new research, development, or training programs and the expansion of existing ones.

Specific Authority BOG Regulation 1.001(3)(g),(j), (h) ~~Resolution January 7, 2003~~, Reg. Procedure July 21, 2005.
Law Implemented 1004.22, F.S. Formerly 240.241 F.S. History—New 9-30-75, Formerly 6C2-5.88, Amended 10-20-91;_____.