

A guide for principal investigators and administrative staff in fulfilling good stewardship in the performance of project management.

# BAYLOR UNIVERSITY



## GUIDE FOR SPONSORED RESEARCH



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# **BAYLOR UNIVERSITY**

## **GUIDE FOR SPONSORED RESEARCH**

### **INTRODUCTION**

Baylor University faculty and staff who direct research have a personal and professional responsibility to manage research projects with the highest degree of care. This manual is intended to help Baylor principal investigators fulfill their responsibility of good stewardship in the performance of project management. Its purpose is to acquaint new and current principal investigators and their administrators with the policies and procedures of Baylor University Research Administration. This document provides all Baylor personnel with information on the various research-related services available to them and should serve as a thorough reference for further information and assistance.



## RESEARCH ADMINISTRATION OFFICES

Research Administration at Baylor University provides an integrated team of professionals serving the needs of the faculty pursuing research and scholarship excellence. Research Administration provides the support, both administrative and financial, for pre- and post-award processes involved in promoting and managing external funding from federal, state, local and private sources.

### Office of the Vice Provost for Research

The Office of the Vice Provost for Research (OVPR) provides the infrastructure necessary to enhance the University's capability and capacity for teaching and research, and aids faculty members in locating and obtaining funding opportunities to support research and scholarship. Services include, but are not limited to, internal funding opportunities, matching grant proposal funding, searchable online funding databases, grant writing seminars and workshops, proposal development, administering research compliance, and travel awards to national funding agencies. Additionally, the office acts as Baylor's representative in pursuing partnerships and collaborative agreements with entities outside the institution and assists Baylor faculty administering technology transfer activities and negotiating licensing opportunities with industry.

### Office of Sponsored Programs and Contracts

The Office of Sponsored Programs and Contracts (OSP) is the central point of coordination for sponsored projects and the University's representative for grants, contracts and other agreements from government agencies and private industry. The office is responsible for pre-award, post-award and compliance activities related to internal and external grants, contracts and other sponsored program pursuits. The office assists faculty and staff with proposal preparation (agency forms and budget preparation), proposal submission, post-award account set-up and monitoring, negotiating research-related agreements, and other post-award activities such as time extensions and budget modifications.

### Office of Academic, Foundation and Corporate Development

The Office of Academic, Foundation and Corporate Development is the clearinghouse for Baylor faculty seeking external funding from nongovernmental sectors of society, including private, corporate, and foundation funding sources. Pre-award services to faculty and staff include developing and maintaining a positive relationship between Baylor and the grantmaker, consultation on project development, grantwriting tips, editorial review of proposals, and coordination of submissions with the Office of Sponsored Programs and Contracts.

### Office of Grants Accounting

The Controller's Office, primarily through the Office of Grants Accounting, is responsible for post-award administration of financial matters, reviewing and analyzing expenditures, expenditure reporting to sponsors and outside agencies, and preparation of the facilities and administrative cost-rate proposal.

# BAYLOR UNIVERSITY POLICIES

Baylor's Research Administration supports research and scholarship pursuits by facilitating the numerous policies and procedures required to ensure compliance and institutional support of sponsored programs.

## General University Policy Overview

External funding is an integral part of today's academic environment. Baylor encourages faculty members to seek external support for research and scholarship that will contribute to the generation of new knowledge. The ultimate responsibility for managing these projects belongs to the principal investigator, assisted by Baylor research administration support offices and your departmental chair and staff.

All applications, proposals, and contracts for research funding, training, and other research-related activities, are made in the name of Baylor University. The Board of Regents has empowered a select number of officials to request and accept grants, contracts, and other related agreements on behalf of the University. Thus, only those officials designated by the Board of Regents of Baylor University may bind the University.

Baylor is required to comply with applicable U.S. Office of Management and Budget circulars A-110, A-21, and A-133, as amended, and other regulations, guidelines and instructions in the notice of grant award or award letter when receiving federal funds. In the use of non-federal funds, the University must comply with the award agreement and University policy.

## Who is Eligible to Apply for External Funding?

To be able to apply for external funding at Baylor, an individual must be a full time faculty member with one of the following appointments: Assistant Professor, Associate Professor, Professor, University Professor, Distinguished Professor, Assistant Research Professor, Associate Research Professor, Research Professor, Academic Professional, or Senior Lecturer.

Visiting Professors, Lecturers or other part time faculty must receive prior approval from the Vice Provost for Research before applying for external funding. Postdoctoral Fellows may apply for fellowships and/or transition grants when a faculty member sponsors the fellow's proposal.

## Contractual Requirements for Sponsored Research

If an application/proposal/contract is not processed through the proper channels of Baylor University, and is subsequently funded, there is the risk of the award not being accepted, or a delay in accessing funds. Additionally, if a project is solicited by a third-party, and work is performed on this project in absence of a recognized and fully-executed sponsored program (grant or contract), the principal investigator alone maintains ultimate liability for any and all requirements of the research program. Further, the principal investigator must reimburse the University for any and all costs associated with the use of University resources commonly associated with the pursuit of this research.

## Research Costs

Baylor expects the sponsor of the research to pay the actual costs for conducting the research. These costs include both the direct costs and facilities and administrative costs (F&A or indirect costs) incurred by the principal investigator during the conduct of a project. Baylor's cost accounting practices are communicated to the Department of Health and Human Services with a disclosure statement that describes the cost accounting system for recording expenses charged to federally-sponsored agreements. The treatment of direct and F&A costs by Baylor must be in compliance with OMB Circular A-21.

Direct costs can be clearly identified and directly benefit a specific research project -- salaries, fringe benefits, consultant cost, equipment, laboratory supplies, travel, other expenses, and consortium/contractual costs.

The facilities and administrative (F&A) costs are those institutional research infrastructure costs that cannot be easily attributed to an individual project or monitored on an individual basis, and include building and equipment use, operations, maintenance, utilities, general departmental administration, telecommunications, library resources, and capital improvements. Each grant is expected to pay its proportional share of these research infrastructure costs. The facilities and administrative cost rate is negotiated between Baylor and the U.S. Department of Health and Human Services.

All project budgets should include facilities and administrative costs (as applicable to the sponsor) as determined by this federally negotiated facilities and administrative cost rate. Exceptions to this policy may be considered on a case-by-case basis if the sponsor has an established, written policy applicable to any and all potential applicants that deviate from the federally negotiated rates. All deviations are subject to approval by the Vice Provost for Research prior to submission of the grant or execution of the contract.

## Intellectual Property

The Baylor University Intellectual Property Policy provides guidelines for managing inventions, discoveries, trade secrets, and technologies developed by faculty and other persons. The Office of the Vice Provost for Research, in collaboration with the Office of General Counsel, administers all legal and business matters involving protection, commercialization and licensing of University intellectual property.

Invention disclosures describing all newly created intellectual property should be submitted to the Office of the Vice Provost for Research. In consultation with other supporting offices and academic units, the Office of the Vice Provost for Research will determine what interest Baylor has, if any, and recommend to the Provost whether Baylor should assert its interest in the intellectual property, or submit the intellectual property disclosure to the University Committee on Intellectual Property. The committee will then decide whether or not to concede all rights to the intellectual property to the creators.

A copy of the complete Intellectual Property Policy can be obtained from the Office of the Vice Provost for Research, who will also provide information on how to prepare an invention disclosure form for institutional review.

## **Intellectual Property Disclosure Form** <http://www.baylor.edu/vpr>

Prompt disclosure is necessary for effective protection and transfer of intellectual property and technology into private industry. It is essential to protect potential patent rights and is a firm requirement of Baylor policy and U.S. federal law when any federal funds are used to support research. Disclosure is made on a Baylor University Invention Disclosure Form at the link above.

## **University Resources**

Baylor University encourages its faculty to interact with business, industry, public and private foundations, government agencies, and religious and other educational institutions in appropriate ways. Such interaction assures the relevance of the University's missions of teaching, research and service. Baylor employees may not use University resources (including any person, money, or property) under their official control or direction or in their custody, for personal benefit or gain, or for the benefit or gain of any other individuals or outside organizations.

Per Baylor's Conflict of Interest Policy (BU-PP 700) it is permissible for a reasonable amount of University resources to be used in support of approved consulting activities while monitoring the usage of resources and reimbursing the University from fees or royalties earned from these activities. However, the use of research resources, including laboratories and research equipment should not be used for consultative activities. In such cases where research equipment is needed, the sponsor should enter into a sponsored research agreement with Baylor to ensure that the University is reimbursed for expenses incurred to provide and maintain these facilities. In cases where University resources are utilized in the absence of a sponsored program agreement, the faculty member will assume all responsibility for reimbursing the University for rental fees and/or royalties earned from these activities.

## **Research Integrity**

Baylor personnel are expected to adhere to the highest ethical standards for all research and scholarly work. It is the responsibility of every principal investigator to maintain the integrity of research projects by keeping accurate, permanent, and auditable records of all experimental protocols, data, and findings, and to charge other contributors with the same standards. Misconduct in research and other un scholarly activities is incompatible with the standards of Baylor University and all allegations of such behavior will be handled promptly. Additional information including the Baylor University Policy on Misconduct in Research can be found on the Vice Provost for Research Web site at <http://www.baylor.edu/vpr>.

## **Conflict of Interest**

Baylor University employees should conduct their affairs so as to avoid or minimize real or apparent conflicts of interest, including financial conflicts of interest and conflicts of commitment. Baylor's Conflict of Interest Policy (BU-PP 700) describes the University's regulations for conflict of interest. This Policy is intended to serve as a primer for faculty members in structuring their relationships with business entities in view of their primary academic responsibilities to Baylor. The Policy is not intended to eliminate all situations of conflict of interest, but rather

to enable faculty to identify and avoid real or apparent conflicts of interest.

In addition to Baylor's regulations, federal agencies, including the Public Health Service and National Science Foundation, have additional conflict-of-interest regulations that are applicable to sponsored research. These regulations require universities applying for grants to ensure that there is no reasonable expectation the design, conduct, and reporting of research will be biased by any significant financial interest of an investigator responsible for the design, conduct, or reporting of that research.

Any real or apparent conflict of interest should be reported to the Office of Internal Audit and Management Analysis. If potential conflicts of interest involve sponsored research activities, these conflicts should also be reported to the Vice Provost for Research and the Office of Sponsored Programs and Contracts so that a proper disclosure and review can be performed before any sponsored program is initiated. In most cases, a conflict of interest may be managed or avoided through proper guidance in structuring an appropriate relationship and through thorough review, disclosure, and monitoring processes.

**Financial Conflict of Interest Reporting** <http://www.baylor.edu/ia/>

Before a grant application can be sent to a sponsoring agency, the Office of Internal Audit and Management Analysis must have an annual statement on file for all key personnel listed in the application. All research applications to federal agencies require certification that the investigators conducting the research do not have a conflict of interest which might compromise the conduct of the proposed research or the interpretation of the results of the research. For information, contact the Office of Internal Audit and Management Analysis at the Web site above.

## Cost Sharing

Occasionally, sponsors may require that Baylor share part of the costs of the proposed research. Baylor discourages voluntary cost sharing and any such costs must be approved in advance by the Vice Provost for Research and the Vice President for Finance and Administration before applying for funding.

Baylor strictly discourages unnecessary cost sharing and will only provide cost sharing in cases where the sponsor's written guidelines state that cost sharing is required of all applicants. In such cases, in-kind faculty salary time, unrecovered F&A costs and/or tuition contributions for graduate research assistants working on the project will be applied toward the cost sharing requirement.

To qualify for cost sharing, matching funds, or in-kind contributions, all charges must be:

- Allowable under sponsor policies and the terms of the grant award guidelines;
- Allowable as a cost to the project;
- Reasonable and necessary for performance of the project; and
- Allowable on the source proposed to fund the cost sharing commitment.

Funding agencies now routinely label budgeted cost sharing amounts as being required (guaranteed) terms of the award. Thus, all award documents must be carefully reviewed and written to avoid non-essential cost sharing and any financial repercussion to your department and

the university. Be careful to include cost sharing in a proposal as the University's contribution toward a project only when required to do so by the sponsor.

### **Cost Sharing of Tuition**

Although Baylor will cost share the tuition for graduate students receiving significant stipends from sponsored project funds, absent the specific approvals of the chair, the dean and the Vice Provost for Research, project budget sheets submitted to funding agencies should not explicitly show tuition cost sharing.

Be aware that despite the best of intentions, at times it is difficult to expend the total amount of tuition projected in the proposal budget sent to the sponsoring agency. If the cost sharing is guaranteed and the University fails to meet the guaranteed amount, severe financial repercussions may result which must be resolved by the respective department and college/school. Refer to the OSP Web site for more details at <http://www.baylor.edu/research/osp/index.php?id=34866>.

### **Cost Sharing on Equipment Proposals**

Typically proposals requesting acquisition of a major piece of equipment require Institutional cost sharing per the sponsor's guidelines. However, the University has a limited pool of money for cost sharing. As with tuition cost sharing, get your department chair, your dean and the Office of the Vice Provost for Research on board to ensure that the money is committed wisely to support research central to department, college/school, and University priorities. Find the procedure for submitting requests at the OSP Web site <http://www.baylor.edu/research/osp/index.php?id=34866>.

## **Publication**

Publication of new knowledge is a right and an obligation that is fundamental to an academic institution. Baylor University retains the right to publish all work derived as a result of its faculty's efforts in support of research and scholarship through grants, contracts and gifts. The right to approve publication or edit the content of faculty's work by individuals or sponsors outside of Baylor is also strictly prohibited.

Reasonable publication delays may be negotiated prior to submission to allow the sponsor to review a publication for the inadvertent disclosure of sponsor's confidential information, permit review for possible premature disclosure of patent application information, or to allow for the filing of a patent application. However, in any and all cases, the final publication decision rests with Baylor University.

## **Gifts in Support of Research**

Baylor is pleased to accept unrestricted gifts of funds to support research and scholarship activities. Monetary gifts from foundations, individuals or other sources and the processing of non-cash gifts of equipment and other items of use in research programs are coordinated through the Office of Academic, Foundation, and Corporate Development in collaboration with the Office of Sponsored Programs and Contracts.

Gifts for Research are contributions by donors, usually non-profit or for-profit organizations, to the University to fund scholarly activities and research. Typically, a Gift for Research is any item of value given by a donor who expects nothing of significant value in return, other than recogni-

tion and disposition of the gift in accordance with the donor's wishes.

Funds for Sponsored Programs refer to research, instruction, and public service grants and contracts undertaken pursuant to a proposal submitted by the investigator that specifies the line of inquiry. Such arrangements require the prior approval of the University and the sponsoring agency and may be initiated in response to a sponsor's request for proposals, or may be submitted at the initiative of the investigator.

## **Capital Equipment**

Capital assets are real or personal property that have a value equal to or greater than the capitalization threshold for the particular classification of the asset and have an estimated life of greater than one year. Personal property (equipment) is fixed or movable tangible assets to be used for operations, the benefits of which extend beyond one year from date of acquisition and placement into service. Improvements or additions to existing personal property that constitute a capital outlay or increase the value or life of the asset by 25 percent of the original cost or life should be capitalized as a betterment and recorded as an addition of value to the existing asset. The capitalization threshold for personal property is \$5,000. Personal property paid for jointly by the state and other governmental entities should be capitalized by the entity responsible for future maintenance.

# PROPOSAL PREPARATION

The individual serving as principal investigator for a proposed project is responsible for preparation of the proposal following Baylor University policies and procedures as well as guidelines provided by the anticipated funding agency. By submitting a proposal to the federal government, the principal investigator is agreeing to abide by all applicable federal policies and procedures, should an award be granted.

All proposals for private foundations require the integrated involvement of the Office of Academic, Foundation and Corporate Development prior to the submission of a proposal. Coordination with the office ensures that conflicting institutional requests for foundation resources are avoided. Regardless of the funding source or sponsor, all proposal submissions for sponsored activity must be processed by the Office of Sponsored Programs and Contracts prior to submission.

## Locating Funding Opportunities

Baylor University provides numerous electronic funding databases for locating external funding opportunities for research and scholarship. These databases can be accessed from the Office of Sponsored Programs and Contracts Web site at <http://www.baylor.edu/osp> . For assistance in using these resources, or to schedule a training session, contact the Office of Sponsored Programs and Contracts.

## Types of Sponsored Programs

Four fundamental types of sponsored research relationships exist: grants, contracts, collaborative agreements. Each represents a step in a continuum from unencumbered basic, curiosity-driven research to targeted, results-driven research. In all cases, requests must be processed through the Office of Sponsored Programs and Contracts prior to submission to the sponsor using the guidelines and procedures described within this document.

### Research Grants

A funding agreement typically focusing on basic or fundamental, curiosity-driven research.

### Training Grants

Supports research training to individuals to broaden their scientific background and extend their potential for research in a specified discipline.

### Fellowship Grants

Supports pre- and post-doctoral fellows during their training to broaden their scientific background and extend their potential for research in a specified discipline.

### Conference/Meeting Support Grants

Supports recipient-sponsored and directed international, national or regional meetings, conferences and workshops.

### **Equipment Grants**

Provides financial assistance, in whole or in part, to pay for research equipment. Facilities and Administrative costs are generally not charged on an equipment grant.

### **Research Contract**

A funding agreement, often sponsored by industry, for conducting research typically directed at answering questions of an applied nature.

### **Research Collaboration Agreement**

A funding agreement, often originating from both government and industry sources, for conducting strategic research.

## **Required Review and Approval**

The Proposal Routing Form provides critical information and certifications for sponsored activity to the dean, department, research administration and institutional officials regarding the proposal. The approval form is part of the proposal submission process and serves as a checklist for processing proposals and compliance certifications required for proposal submission. Detailed instructions can be found at <http://www.baylor.edu/osp/routing> form.

## **Required Compliance Authorizations**

Research activities are governed by a number of regulatory and compliance committees imposed by federal and state laws. Non-compliance can result in severe penalties to the institution, and in some instances to the individual. It is the responsibility of any principal investigator to be familiar with all areas of research compliance and any review and reporting processes that are required. In all cases, reviews to ensure research compliance are required of all protocols using human subjects, laboratory animals, radioactive or biohazardous materials, or recombinant DNA, regardless of whether or not funding (internal or external) is being sought for the project.

### **Human Subjects**

If human subjects are to be included as part of a research study, the protocol must be reviewed and approved by the Institutional Review Board (IRB), regardless of whether research funding is being sought. After review, the proposal author will receive written notification of the IRB action, with copies to the principal investigator and the department chair.

Studies may not begin until a sponsored research agreement is fully executed and the protocol is approved by the IRB. Approved protocols are required by regulatory law to receive continuing review and approval at least annually. Additional information can be found on the Baylor University IRB Web site at <http://www.baylor.edu/irb>.

### **Human Subjects Compliance Application** <http://www.baylor.edu/irb/>

Institutional Review Board (IRB) approval is required any time human subjects are used in research or scholarship pursuits.

## **Laboratory Animals**

Research protocols involving laboratory animals must be reviewed and approved by the Institutional Animal Care and Use Committee (IACUC), regardless of whether grant support is involved. After review, the authors of the proposal will receive written notification of the IACUC action. Protocols are subject to continuing review. Studies may not begin until a sponsored research agreement is fully executed and the protocol is approved by the IACUC. Additional information can be found on the Baylor University IACUC Web site at <http://www.baylor.edu/iacuc>.

## **Laboratory Animals Compliance Application** <http://www.baylor.edu/iacuc>

Institutional Animal Care & Use Committee (IACUC) approval is required any time animals are used in research or scholarship pursuits. Forms can be requested by contacting the chair of the IACUC.

## **Radioactive Materials**

If research studies involve radioactive materials or exposure of personnel and/or subjects to radioactivity of any kind, including x-rays, contact the Department of Risk Management. Additional information can be found on the Department of Risk Management Web site at [http://www.baylor.edu/risk\\_management](http://www.baylor.edu/risk_management).

## **Biohazardous Materials and Recombinant DNA**

If research studies involve the use of recombinant DNA or biohazardous materials, contact the Institutional Biosafety Committee. Additional information can be found on the Office of Sponsored Programs and Contracts Web site at <http://www.baylor.edu/osp>.

## Proposal Format and Content

Proposal format may vary greatly between different sponsors. Detailed instructions are most often found within the sponsor's grant proposal guidelines or on the sponsor's Web site.

### Budget

Using a detailed budget form, the Office of Sponsored Programs and Contracts can assist principal investigators in formulating a comprehensive project budget. Budgets must adhere to sponsor and institutional costing policies regarding sponsored programs and contracts.

### Budget Worksheet <http://www.baylor.edu/osp>

The Office of Sponsored Programs and Contracts provides a detailed worksheet for preparing project budgets. Identify all personnel by name and title/position, the percentage of effort or portion of time each person will actually devote to the project, and the rate of pay based upon this effort. Foresight should be exercised to anticipate and provide for annual increases in the budget based upon the scope of work. All other costs (equipment, supplies, travel, etc.) should be clearly detailed and well justified and budgets should adhere to sponsor and institutional costing policies regarding sponsored programs and contracts. Budget template and other information is available from the Office of Sponsored Programs and Contracts Web site at <http://www.baylor.edu/osp>.

### Cooperating with Institutions / Subawardees

Formal consortium/partnership agreements are executed when any substantial portion of a research project is to be performed by another institution. Early in negotiations with any cooperating institution or subawardee, contact your grant coordinator in the Office of Sponsored Programs and Contracts for assistance in acquiring the necessary documentation for the comprehensive proposal budget.

### Partnering with Industry

University-Industry partnerships for the purpose of seeking funding cooperative research initiatives, such as Small Business Innovative Research (SBIR) programs, may require formal agreements between the parties. In these cases, the Office of the Vice Provost for Research should be involved so that such partnerships can be fully developed.

### Facilities and Administrative Costs

Facilities & Administrative costs (F&A or indirect costs) are allowable costs associated with the conduct of a research study, but which cannot be directly charged since they result from shared services. Such costs might include libraries, physical plant operation, departmental support, research administration expenses, and depreciation or use allowance for building and equipment. F&A costs on federal grants are computed on the basis of negotiations with a cognizant audit agency (e.g. NIH utilizes the U.S. Department of Health and Human Services), culminating in agreement on the allowable rates of reimbursement.

Baylor's policy is to always obtain indirect costs to the maximum extent allowed by the sponsor. If a sponsor does not allow indirect costs, or requests to pay a rate below that charged for federal sponsors, such policy must be provided in writing from the sponsor to

the Office of Sponsored Programs and Contracts before accepting an award. Contact the Office of Sponsored Programs and Contracts or view the Web site to obtain the current F&A cost rates for on and off campus research: <http://www.baylor.edu/osp>.

## **Fringe Benefits**

Fringe benefits include such items as Social Security, University retirement programs, health insurance, life insurance, and disability insurance. These rates vary for different types of appointments and individuals. Average rates are used for assessing the charges to the grant or contract. Contact the Office of Sponsored Programs and Contracts or view the Web site to obtain current rates for calculating fringe benefits: <http://www.baylor.edu/osp>.

# SUBMISSION OF THE COMPLETED PROPOSAL

All requests for external funding, regardless of source, must be processed through the proper channels of Baylor University before initiation of effort on the project. Without an award agreement or fully executed contract in place, the principal investigator alone maintains ultimate liability for any and all requirements of the research program, as well as any and all costs associated with the use of University resources commonly associated with the pursuit of this research.

## Advanced Notices and Lead Times for Review

It is to the benefit of the principal investigator to contact the Office of Sponsored Programs and Contracts as soon as preparation of a formal proposal begins. Advanced notice will ensure that all administrative and budgetary items are accurate before the proposal is finalized and submitted.

A complete proposal should be received in final form by the Office of Sponsored Programs and Contracts a minimum of five working days before the Sponsor's deadline. Proposals received after the five day processing period may not be processed in time to meet the sponsor's deadline. This policy is needed to allow the Office of Sponsored Programs and Contracts sufficient time to carry out their grant processing responsibilities and to permit institutional routing of the proposal while meeting the sponsor's deadline. Any multitude of problems could potentially result in last-minute proposals not meeting the deadlines, with consequent loss of research funds to the investigator and Baylor University.

Letters of intent and pre-proposals may need to be processed through the Office of Sponsored Programs and Contracts if the information submitted in any way requires Baylor University to make an institutional commitment to the sponsor.

## Transmitting the Completed Proposal

All proposals, whether electronic or paper-based and regardless of the funding source, must go through the Office of Sponsored Programs and Contracts and receive institutional approval prior to submission via the completed Proposal Routing Form. **When institutional approval is complete, OSP will submit the proposal as the sponsor requires.** Your OSP Grant Coordinator has information on enrollment/access to electronic systems and submission procedures for various sponsors.

# THE AWARD

The Office of Sponsored Programs and Contracts seeks to help with any administrative questions that might pertain to a submitted proposal. Provide your grant coordinator with a copy of any funding decision or other pertinent correspondence with the sponsor regarding the review process of your, funding decisions or sponsor requests for a site visit either before or after an award is granted.

Awards are made to Baylor University. The original notice of grant award, award letter, or contract for all activities should be provided to the Office of Sponsored Programs and Contracts immediately after it is received. Also, please provide the office with a copy of any sponsor's policies or financial guidelines, as this will assist both Office of Sponsored Programs and the Office of Grants Accounting (within the Controller's Office) with preparation of processes for the ongoing management of the award.

## Negotiation

The Office of Sponsored Programs and Contracts will work directly with the sponsor to negotiate language that is favorable to both parties, while protecting the rights and obligations of the University and the researchers involved in the endeavor. All research-related agreements, including but not limited to sponsored research agreements, research service agreements, material transfer agreements, nondisclosure agreements, industry-related agreements, grant awards and contracts are negotiated by the Office of the Vice Provost for Research.

The OSP will negotiate terms and conditions and obtain official signatures. Clauses that often require special attention include confidentiality requirements, the right to publish findings, budget limitations, required reports, record retention, patent and copyright protection, liability and indemnification. It is an absolute requirement, and in the principal investigator's best interests, that any and all contracts or agreements be thoroughly reviewed and negotiated. Further, such review and negotiation is required so that the contractual language is in accordance with the mission of Baylor University and consistent with the University's adherence to the principles of academic freedom. The principal investigator will be provided a copy of the fully executed agreement and should maintain this agreement for future reference.

## Execution of Contracts and Agreements

Awards are made to Baylor University and are accepted by an official authorized to bind Baylor on behalf of the Board of Regents. Therefore, any contract or agreement for research must be processed through the appropriate Baylor office. Agreements or contracts are not considered legally binding unless an authorized Baylor University official signs them. An investigator may lose an award if the corresponding agreement is not signed by an authorized signatory of Baylor.

## Account Setup

Once the original notice of grant award, award letter or fully executed contract has been received, an account may be established by the Office of Sponsored Programs and Contracts. Without a tangible notice of award, an account cannot be established. This information is then forwarded to the Office of Grants Accounting to administer the account.

If a payment is received on a study for which no records exist, then that payment cannot be receipted nor an account established until the proposal is correctly processed through normal institutional channels. Therefore, it is to the principal investigator's advantage to always immediately involve the Office of Sponsored Programs and Contracts in any potential proposal that may take place with a potential sponsor.

If an award is made for a different amount than the proposed budget, a revised budget for the new amount is required and should be forwarded to the Office of Sponsored Programs and Contracts as soon as possible to avoid a delay in setting up an account.

## Payments

Checks should be made payable to Baylor University. If the principal investigator receives a check for a grant or contract, it should be hand-carried immediately to the Office of Sponsored Programs and Contracts. Any correspondence or other papers that will help identify the study should accompany the check. The office will send a letter of acknowledgement to the sponsor, and a copy of the letter to the principal investigator.

# PROJECT ADMINISTRATION

## Administrative Responsibilities

The principal investigator is responsible for the day-to-day administration and direction of the approved project. In order to carry out this responsibility, the principal investigator should be aware of all grant/contract terms and conditions and should give special attention to those terms and conditions regarding budget limitations, patents and copyrights, inventions, confidential information, safety and security, and required reports.

## Prior Approvals

Each sponsor may have specific requirements regarding changes to the scope of the project or modifications to the approved budget. Any changes should be discussed with the Office of Sponsored Programs and Contracts. This is especially important regarding changes in project duration or the budget, as Baylor may have expanded authority to approve changes to certain grants without referring back to the sponsor.

For grants/contracts requiring sponsor's prior approval, correspondence with the sponsor requesting such changes must be approved/co-signed by a University official on behalf of Baylor. Once a written approval is received from the sponsor, the principal investigator and the Office of Grants Accounting will receive notification.

## Reporting Requirements

The principal investigator is responsible for complying with all reporting requirements and deadlines, as specified by the sponsor. Therefore, principal investigators should read the sponsor's guidelines carefully to ascertain what reports are required, their frequency, and preparation instructions. Formal financial reports will be prepared by the Office of Grants Accounting at the principal investigator's request and sent to the principal investigator for review prior to being sent to the sponsor.

### University Time and Effort Certification

Baylor faculty and staff who have either charged effort directly to a sponsored project or who have committed cost shared effort to a sponsored project are required by federal regulations to verify and certify to such effort.

Baylor uses a plan-confirmation system to meet the federal requirements for reporting personnel effort. Under the plan-confirmation method, salaries and wages are initially distributed to activities based on estimates of the individual's planned effort. The employee's effort distribution must be adjusted for any significant changes in actual effort and the actual effort of the employee must then be certified on an after-the-fact basis.

For more details refer to <http://www.baylor.edu/research/osp/index.php?id=34616>.

## Invoicing Sponsor

Most research agreements specify that an initial payment will be made upon receipt of a fully executed agreement. Often, the sponsor may also require additional invoices to cover the cost of the project as defined by the contract period. The Office of Grants Accounting will provide invoices to the sponsor based on the payment schedule defined within the research agreement.

## Equipment

Baylor retains ownership of or title to most capital equipment purchased with sponsored research funds. Equipment should not be sold, transferred, or otherwise disposed of without first notifying the Office of Sponsored Programs and Contracts. The office is responsible for researching and determining agency specific regulations governing the sale, transfer, or disposal of equipment purchased with sponsored research funds.

General guidelines concerning title to capital equipment permits full vesting upon close-out of the award under which the property was acquired. There may be special circumstances, such as the transfer of a principal investigator to another institution, when arrangements can be made to transfer property to another institution. In these situations written approval is required by both the awarding agency and Baylor, and may require reimbursement for the equipment. Arrangements should be coordinated through the Office of Sponsored Programs and Contracts.

## Transfer to Another Institution

If a principal investigator anticipates leaving Baylor University for another appointment, the Office of Sponsored Programs and Contracts and the Office of the Vice Provost for Research should be notified immediately. If requesting a transfer of extramural support to another institution, specific written approval must be obtained from Baylor, the anticipated recipient institution, and the funding agency.

If the principal investigator becomes unable to serve as the lead investigator on a grant and wishes to relinquish the grant, and nominate another Baylor faculty member as the lead principal investigator, written permission from both Baylor and the sponsor must be obtained. In all such cases, the Office of Sponsored Programs and Contracts can provide assistance.

**Office of Sponsored Programs**

**Baylor University**

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