

# OREGON INSTITUTE OF TECHNOLOGY

## Research Grants and Contracts OIT-40-010

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### Introduction

OIT has a commitment to applied research. The by-products of such research programs are extremely important to the college, and benefit it by:

- A. Providing professional growth in a researchers' academic discipline.
- B. Improving existing instructional capabilities and techniques.
- C. Providing students with a realistic educational experience as assistants in research projects.
- D. Providing a service to the state and the Klamath Falls area.

The annual budget for OIT contains few uncommitted funds for use in research projects. Most research funds, therefore, must come from external sources, such as federal, state, or private foundation awards or grants. All funds awarded in support of proposals are awarded to the State of Oregon on behalf of OIT, and not to individual Project Directors/Principal Investigators. The procedures and specific responsibilities to be followed to best realize this goal are established in the following sections.

### Responsibilities

**President** – The President establishes research policies for the institution and delegates approval authority for all external funding proposals.

**Vice President for Finance and Administration or Director of Business Affairs** – The Vice President for Finance and Administration approves contract and grant agreements for OIT. Specific duties include:

- A. Advising the President and seeking approval when necessary for grants, contracts, and proposals.
- B. Establishing and maintaining communication with all appropriate agencies relative to grant and contract matters and negotiating grant and contract terms. This is a shared responsibility between the Vice President for Finance and Administration, Director of Business Affairs and Director of Grant Development.
- C. Coordinating campus patent, trademark and copyright activities.

### Research Grants and Research Contracts

**Provost** – The Provost is responsible for faculty efforts in instructional research. Specific duties include:

- A. Reviewing and approving all instructional research proposals prior to forwarding them for approval to the Vice President for Finance and Administration and the Director of Business Affairs. If matching funds from OIT's budget must be committed, the Provost makes a recommendation regarding the availability of funds.
- B. Reviewing the faculty release time proposed for each research proposal to determine supportability.

**Grant Accounting Manager** – The Grant Accounting Manager will maintain the necessary fiscal records. Specific duties include:

- A. Reviewing all project proposals. If matching funds from OIT's budget must be committed, the manager makes a recommendation regarding availability of funds.
- B. Requesting the establishment of an account for each approved project and maintaining fiscal records as required.
- C. Providing fiscal reports to granting agencies as required by contract provisions.
- D. Monitoring expenditures of research funds.

**Director of Grant Development** – The Director of Grant Development works directly with the Deans, Chairs and faculty providing staff assistance and coordinating all faculty research except for research performed within the Geo-Heat Center. Specific duties include:

- A. Monitoring publications for announcements of upcoming instructional research projects and funding opportunities.
- B. Informing the appropriate department(s) and faculty member(s) of pending instructional projects.
- C. Providing Project Directors/Principal Investigators with staff assistance as required.

- D. Coordinating the necessary activities of grant administration between the Project Director/Principal Investigators, Deans, Chairs, Director of Business Affairs, Vice President for Finance and Administration, Provost, and other institutional staff as required.
- E. Providing assistance to Project Directors/Principal Investigators in developing proposed project budgets.

**Project Directors/Principal Investigators** – Project Directors/Principal Investigators are responsible to their respective supervisors or designees, for all aspects of their projects. Specific duties include:

- A. Preparing the proposal for submission.
- B. Budgeting for the project.
- C. Spending funds appropriately.
- D. Recording all expenditures and commitments in a timely and accurate manner.
- E. Conducting the research.
- F. Submitting required reports to granting agency in a timely manner. One copy of all reports shall be provided to the Director of Business Affairs, Vice President for Finance and Administration or Director of Grant Development as appropriate.
- G. Monitoring active contracts to ensure contract terms are met.

All grant and contract-funded employees are College employees who are treated like all other employees. The Project Director/Principal Investigator agrees that employees hired as part of the grant must be paid, provided benefits, and given employment conditions according to the College's policies and procedures.

### **Proposal Procedures**

Proposals may be funded entirely by funds from external sources or a combination of external monies matched by OIT funds. External funding sources may be federal, state, or private foundations. Proposals submitted may be either in answer to a specific need, as solicited by the funding agency, or unsolicited by an agency, but developed to fill a research need as identified by a Project Director/Principal Investigator.

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When proposals are solicited by funding agencies, the format will normally be specified in the soliciting document. In cases where no format has been specified, proposals will be prepared in the format shown in Appendix A.

A researcher in developing a proposed project should follow the steps outlined below:

- A. Prepare a project proposal following the format in Appendix A. Obtain the approval of the Chair, Dean, Provost, and Grants Officer.
- B. Write the proposal and complete the Proposal Check-Off Sheet. Obtain the required approval signatures.
- C. Forward the proposal to the appropriate funding agency.

The approval is granted by the Vice President for Finance and Administration. If facilities, new instructional programs, or legislative funding are involved, the proposal may require forwarding to the Oregon University System for approval. In some instances legislative approval may also be required.

Upon approval, copies of the approved proposal will be returned to the Project Director/Principal Investigator, Director of Grant Development, Dean, Provost and Vice President for Finance and Administration.

Should the project be approved by the funding agency, the Grant Accounting Manager will request an account for the project and provide the Project Director/Principal Investigator with copies of the monthly reports of expenditures.

Problems related to funding, shifting/transferring of budgeted monies or contract negotiations or re-negotiations must be referred to the Business Office.

## **Fiscal Responsibilities**

The Project Director/Principal Investigator is responsible for the proper expenditure of the funds budgeted through a grant/contract. The following guidelines must be followed:

- A. **Obligation of Funds:**  
No funds are obligated for salaries, supplies and equipment until a grant/contract has been awarded. Notification of the effective date of the grant/contract will be provided by the authorized institutional representative.
- B. **Required Signatures:**  
All contracts and proposals must be signed by an OIT Contracts Officer who has been officially designated as such.
- C. **Use of Funds:**  
All monies, including external funds, received by OIT become institutional funds subject to OIT's policies, including purchasing and employee compensation. All supplies and equipment are ordered through the OIT Purchasing Office in accordance with current purchasing regulations; the Purchasing Manager should be contacted for technical assistance.
- D. **Travel Rules:**  
Requests for budgeted travel will be prepared by the appropriate staff and approved by the immediate supervisor prior to travel. Travel taken must be in support of the project in accordance with travel regulations of the grant/contract, state and OIT. Travel expenses are reimbursed at the lower of OIT or grant stipulated rates.
- E. **Compensation and Release Time Rules:**  
When an OIT faculty member is eligible to receive compensation and/or release time from a grant, the compensation and/or release time, must be approved by the Chair, Dean and Provost. The Provost's Office will adjust the funding distribution on the existing contract, approve an overload and/or issue a part-time contract as appropriate and forward to the Office of Human Resources. Additional compensation cannot be paid until the Office of Human Resources receives the employment contract. Project Directors/Principal Investigators must certify, on a monthly basis, the percentage and hourly total of effort expended on a project. While the amount of time devoted to a project may vary from week to week and month to month, the total effort must equal the contracted amount.

F. Matching Funds/In-Kind Funds:

Whenever the granting agency requires the institution to provide matching and/or in-kind funds, the amount and source of the matching funds must be clearly identified in the proposal check-off sheet as part of the Grant Development application process. The signed approval of the requisite dean/department chair providing the funds is required.

G. Budget Limit:

When the budget limit for the project has been reached, work must stop. For multi-year projects, work must cease when monies allocated for that year have been used. Work can commence again when the next year's allocation is received. Should an extension of funding beyond the budgeted period or an increase in funding be required, the Budget Officer should be contacted.

In the administration of grants, little leeway is normally allowed for transferring funds from one budget category to another. Should the Project Director/Principal Investigator require such a transfer of funds, the Director of Grant Development or Accounting Manager for budget revision procedures should be contacted.

## Facilities and Administration Cost Recovery

The distribution of Facilities and Administration Cost Recovery (formerly known as Indirect Cost) has been agreed upon as shown below:

- 4% to Chancellor's Office
- 5% to Building Use Reserve
- 25% to Oregon Institute of Technology
- 1% to Maintenance Reserve
- 25% to Provost Research Support
- 10% to Library Research Support
- 10% to School associated with the research
- 10% to Department associated with the research
- 10% to Principal Investigator doing the research

This allocation is for new research grants/contracts/agreements from this day forward with the exception of Geo-Heat Center. Geo-Heat Center's Financial and Administration costs will be distributed as in past practices as well as research grants/contracts/agreements in effect before June 01, 2000.

Recommended by:

- Faculty Senate – February 1, 2001
- Administrative Council – October 23, 2000
- President's Council – October 31, 2001

Approved:           /s/ Martha Anne Dow            
Martha Anne Dow, President

Date:           October 31, 2001

## **APPENDIX A**

### **Project Proposal Format**

Unless otherwise specified, project proposals will be drafted to conform as closely as possible to the format outlined below.

1. Title page to include:
  - a. Name of person to whom the proposal is to be submitted.
  - b. Organization(s) conducting the research.
  - c. Title of the project
2. An abstract not more than one page in length to briefly define the purpose and objective of the research.
3. A narrative section to provide specifics on the background of the project, research to be conducted, goals of the project, and benefits to be derived.
4. An estimated budget.
5. Estimated length of project and periods for completion of subtopics within the project.
6. Information or results to be submitted to the agency funding the project such as reports, models, etc.
7. Vita of researchers and FTE percentage of each to be devoted to the project.
8. A sign-off sheet for the Chair, Dean, and Provost.