

University Policy and Procedure Statements

UPPS 02.02.01 Applying for Sponsored Program

01.01 This policy will:

1. a. differentiate between types of support provided to Texas State University by outside organizations;
2. b. determine signatory authority and management assignment;
3. c. ensure governmental rules and regulations are applied appropriately;
4. d. provide direction to faculty and staff regarding solicitation, accounting, reporting, and communication; and
5. e. provide guidelines for developing and submitting proposals through the Office of Research and Sponsored Programs (ORSP).

<https://policies.txst.edu/university-policies/02-02-01.html>

UPPS 02.02.02 Sponsored Programs – Post Award

01.01 The purpose of this policy is to provide general guidelines for the administration of sponsored programs. Post Award Support Services has the authority and responsibility for promulgating policies and procedures related to post-award activities for sponsored programs.

<https://policies.txst.edu/university-policies/02-02-02.html>

UPPS 02.02.03 Protection of Human Research Subjects

01.01 This policy describes Texas State University's commitment to full compliance with the U. S. Department of Health and Human Services (HHS) regulations for the protection of human research subjects (45 CFR 46, June 18, 1991, as amended June 23, 2005, and thereafter) and describes and references procedures that the university takes to fulfill this commitment.

<https://policies.txst.edu/university-policies/02-02-03.html>

UPPS 02.02.05 Animal Care and Use Policy

01.02 The purpose of this policy is to establish and standardize procedures and regulations concerning the procurement, maintenance, handling, and disposal of all live animals for education and research purposes by Texas State.

<https://policies.txst.edu/university-policies/02-02-05.html>

UPPS 02.02.06 Research Cash Advances

01.01 The purpose of this policy is to establish guidelines for cash advances for funded research activities that require expenditures for activities for which it is impossible or impractical to use the normal Texas State University procurement or reimbursement processes. This policy also includes guidelines for incentive payments to human subjects participating in funded research projects (see Procedures for Paying Human Subjects).

<https://policies.txst.edu/university-policies/02-02-06.html>

UPPS 02.02.07 Research Conflicts of Interest in Research and Sponsored Program Activities

01.01 To maintain a research environment that promotes the highest standards of integrity and ethics, Texas State University has established this policy to promote objectivity in research and to ensure that all research and sponsored program activity conducted by university researchers is free from bias resulting from conflicts of interest (COI).

02.01 Except as otherwise provided by federal law, this policy adopts standards for the disclosure of SFI and the management and reporting of FCOI beyond those required by federal law. Regardless of the funding source, the university requires investigators engaging in research and sponsored program activity to disclose SFI related to their institutional responsibilities.

<https://policies.txst.edu/university-policies/02-02-07.html>

UPPs 02.02.08 Conflicts of Commitment in Research and Sponsored Program Activities

- 01.01 This policy relates to the participation of researchers in outside activities or employment that may conflict with their primary research commitment to Texas State University and to its research mission.
- 02.02 This policy applies to all researchers and pertains to their university contract period (nine-month, twelve-month, or other) and the percent time the university pays them. When researchers have a less than twelve-month contract, the university does not concern itself with how those researchers spend the balance of their non-contract time, as long as it does not conflict with their obligations to the university and does not reflect unfavorably on the university.

<https://policies.txst.edu/university-policies/02-02-08.html>

UPPS 02.02.09 Email Recruiting of Research Participants

- 01.02 This policy provides guidance to university faculty, staff, and students to assure compliance with all legal requirements, minimize unnecessary and unproductive email communication, and maximize the value of email as a tool for recruiting research subjects. It applies to all university faculty, staff, and students who employ email to solicit participation in research projects using university email addresses (e.g., <address>@txstate.edu).

<https://policies.txst.edu/university-policies/02-02-09.html>

UPPS 02.02.10 Export Control Laws and Regulations

- 01.03 Texas State has an obligation to implement an export control compliance program to reduce the risk of export control violations. All employees and students must be aware of and are responsible for the export control implications of their work and must ensure that their activities conform to export control laws and regulations.

<https://policies.txst.edu/university-policies/02-02-10.html>

UPPS 03.04.05 Facilities and Administration Costs (F&A or Indirect)

- 01.01 The purpose of this policy is:
- a. to establish guidelines covering the allocation, management, budgeting, expenditures, and distribution of funds associated with facilities and administration (F&A) costs from sponsored programs; and
 - b. to ascribe appropriate recognition to the personnel who conduct sponsored programs.

<https://policies.txst.edu/university-policies/03-04-05.html>

UPPS 03.04.09 Research Service Centers

- 01.01 This policy provides a framework for the approval and fiscal operations of Texas State University research service centers (RSCs) that will ensure compliance with federal cost principles, consistency in accounting and costing practices, and flexibility in support of the university instruction and research mission. Although there is a wide variation in size, complexity, and services provided by RSCs, they should all maintain common administrative practices.

<https://policies.txst.edu/university-policies/03-04-09.html>

UPPS 04.05.17 Research and Teaching Involving Recombinant or Synthetic Nucleic Acid Molecules and Biohazardous Materials, Agents, and Toxins

- 02.01 Under the authority of The Office of the Provost and Vice President for Academic Affairs, Texas State has established an IBC charged with oversight responsibilities for all research-related activities involving use of recombinant or synthetic nucleic acid molecules and biohazardous materials, agents, and toxins.

<https://policies.txst.edu/university-policies/04-05-17.html>

UPPS 04.04.12 Pay Above Base Annual Salary for Staff

- 01.01 This policy establishes procedures for pay above base annual salary from all funds, including grants and contracts, administered by Texas State University for staff positions.

01.02 The standard applied to the expenditure of all sponsored program funds must coincide with the requirements of U.S. Office of Management and Budget (OMB) circulars.

<https://policies.txst.edu/university-policies/04-04-12.html>

UPPS 05.06.03 Student Travel

01.01 The purpose of this policy is to provide the university community and specifically, students and student organizations, with procedures and safety guidelines on university-sanctioned travel and registered student organization travel that is 25 or more miles away from campus. Student travel is an important activity in the course of the student experience at Texas State University.

<https://policies.txst.edu/university-policies/05-06-03.html>

UPPS 07.07.03 Hourly Student Employment Procedures

01.01 This policy provides an organized procedure whereby students seeking part-time hourly employment, and the respective departments and offices of Texas State University seeking part-time hourly student employees will receive maximum benefits from the Student Employment Program.

<https://policies.txst.edu/university-policies/07-07-03.html>

UPPS 07.07.06 Salaried Graduate Student Employment

01.01 This document describes the policies and procedures for graduate student employment in assistantship positions. The intent is to maximize the benefits of graduate student employment at Texas State University. Graduate students who conduct research outside of paid assistantship positions, such as students supported by external fellowships, are not considered salaried employees and are therefore not governed by this policy.

<https://policies.txst.edu/university-policies/07-07-06.html>

Division Policies - Research

R/PPS 01.02.02 Establishment and Review of Centers, Institutes, and Academies

01.01 Centers, institutes, and academies are special purpose units created to provide a focal point within Texas State University for research, educational, or service programs. These structures allow faculty and students from the same or different disciplines to work on common projects. These endeavors have as goals one or more of the following:

- a. to facilitate or conduct research;
- b. to educate students at the graduate, undergraduate, or continuing professional levels; and
- c. to provide or enhance service to the community.

<https://policies.txst.edu/division-policies/research/01-02-02.html>

R/PPS 03.01.02 Limited Submissions for Certain Sponsored Programs

01.01 Many funding agencies place limits on the number of proposals or applications that any one university may submit in response to a funding solicitation. The following policy has been established to prevent any potential disqualification of submissions by Texas State University. This policy applies to all sponsored programs. If the Division of Research (DoR) receives fewer than the allowed number of planned submissions, the normal process for submission will be followed. If DoR becomes aware of the intent to submit more than the allowed number of planned submissions, the process described below will be used to determine which proposals will be submitted on behalf of the university.

01.02 This policy sets the procedure to be followed when a sponsored program imposes a limit on the number of proposals that can be submitted by Texas State. The procedure is activated when a principal investigator (PI), chair, director, dean, or any DoR staff becomes aware of an upcoming limited submission opportunity.

<https://policies.txst.edu/division-policies/research/03-01-02.html>

R/PPS 03.01.03 Applicable Cost Standards for Sponsored Programs

01.01 Many funding agencies place different sets of applicable cost standards on sponsored programs. In order to prevent unallowable costs charges to a sponsored program, Texas State University has set the following as applicable cost standards for all grants except for a sponsor's individual policies which will supersede these set standards. This policy applies to all sponsored programs. The applicability of this policy is to ensure a consistent cost basis for audit purposes and for the Facilities and Administrative Cost rate (F&A) proposal submitted to the U.S. Department of Health and Human Services.

<https://policies.txst.edu/division-policies/research/03-01-03.html>

R/PPS 03.01.04 Fixed Price Agreements – Residual

01.01 The purpose of this document is to establish policies and procedures under which Post-Award Support Services (Post-Award) will close out accounts established for fixed-price agreements with external funding sources.

<https://policies.txst.edu/division-policies/research/03-01-04.html>

R/PPS 03.01.05 Fee for Service

01.02 Fee for service (FFS) is to be used only on those projects involving testing and diagnostics of sponsor-provided material or information. No applied or basic research involved in the project shall be provided by the university. Therefore, it is unlikely that there will be creation of new knowledge or technologies by university personnel. As such, the provisions of an FFS-related agreement, FFS agreements (FSA), vary from sponsored research agreements, and it is imperative that an FSA not be substituted for a sponsored research agreement.

<https://policies.txst.edu/division-policies/research/03-01-05.html>

R/PPS 03.01.08 Cost Sharing on Sponsored Programs

01.01 The purpose of this policy is to define Texas State University's general policy on the inclusion of cost sharing, cost matching, and other items of support listed in a proposal for a sponsored program. This policy also addresses general federal and state policies that govern the acceptability of certain forms of contributions as meeting cost sharing and matching requirements. Individual funding agencies may have guidelines that vary slightly from those specified in this policy; therefore, verification of an agency's specific requirements is essential prior to designating what expenditures will be used as cost share.

01.02 This policy will also define the methods for determining the value of contributions made by Texas State to federal, state, private, and non-profit sponsored programs.

<https://policies.txst.edu/division-policies/research/03-01-08.html>

R/PPS 03.01.09 Program Income on Sponsored Programs

01.01 Program Income – income earned by Texas State University that is directly generated by a supported activity or earned as a result of an award. Program income includes income from fees for services performed, use or rental of real or personal property acquired under sponsored programs, sale of commodities or items fabricated under an award, license fees and royalties on patents and copyrights, and interest on loans made with award funds. Program income should be budgeted and described in the grant proposal.

<https://policies.txst.edu/division-policies/research/03-01-09.html>

R/PPS 03.01.10 Participant Support on Sponsored Programs (Including Tuition/Fees and Subsistence)

01.01 The purpose of this policy is to define and establish procedures for support payments made to sponsored program participants.

<https://policies.txst.edu/division-policies/research/03-01-10.html>

R/PPS 03.01.12 Faculty Incentive Compensation for Externally Funded Sponsored Programs

01.01 Texas State University is aware that faculty members and other members of the university community have the interest and ability to develop robust research, training, and service projects that can generate substantial amounts of external funding. The university has approved the following policy and procedures for addressing research incentive compensation.

01.02 Research incentive compensation is calculated on a semester basis (fall or spring only) and serves as a one-time supplement to the regular compensation of a principal investigator (PI) or co-investigator (Co-I). Incentives are not considered creditable compensation for retirement purposes and are subject to all applicable federal and state taxes and withholdings. Incentive compensation does not affect a PI or Co-I's eligibility for merit or other salary adjustments.

<https://policies.txst.edu/division-policies/research/03-01-12.html>

R/PPS 03.01.13 Addressing Allegations of Misconduct in Academic Research and Scholarship

02.01 This policy and associated procedures apply to all individuals at the university including: those currently or formerly engaged in research, research-training or research-related grant or cooperative agreements; and those currently or formerly paid by, under the control of, or affiliated with the university, such as faculty, scientists, trainees, students, fellows, technicians and other staff members, guest researchers, or collaborators, at the university or working with university employees. The fact that a student is no longer enrolled or has graduated from the university does not preclude nor terminate misconduct procedures. This is true for any other individual who is no longer at Texas State when the allegation is made.

<https://policies.txst.edu/division-policies/research/03-01-13.html>

R/PPS 03.01.20 Effort Reporting on Sponsored Programs

01.01 This policy provides an acceptable method to document the distribution of charges for personal services on sponsored research projects in compliance with Office of Management and Budget Uniform Guidance and other regulations. Certification of effort is one of the financial management responsibilities that a principal investigator (PI), effort certifier (EC), or designee, accepts when they accept a sponsored research project. By certifying effort, the PI, EC, or designee, verifies that the amount of compensation received by those working on the project is reasonable in relation to the effort expended on behalf of the project.

<https://policies.txst.edu/division-policies/research/03-01-20.html>