[University Policy and Procedure Statements](https://policies.txst.edu/university-policies.html)

**02 Academic Instruction**

## UPPS 02.02.01 Applying for Sponsored Program

* 1. This policy will:

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

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

## UPPS 02.02.02 Sponsored Programs – Post Award

* 1. 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

* 1. All human research conducted by members of the Texas State University community, using university facilities or resources, or involving use or disclosure of identifiable private information created or maintained by the university, will be guided by the ethical principles found in the National Commission for the Protection of Human Subjects of Biomedical and Behavioral Research’s report entitled Ethical Principles and Guidelines for the Protection of Human Subjects of Research (the “Belmont Report”) and will be performed in compliance with applicable federal and state law.

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

## UPPS 02.02.04 Faculty Incentive Compensation for Externally-Funded Sponsored Programs

* 1. 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.

<https://policies.txst.edu/university-policies/02-02-04.html>

## UPPS 02.02.05 Animal Care and Use Policy

* 1. Texas State University recognizes the importance of the use of animals in its education and research programs. The use of animals is vital both for understanding basic biological, agricultural, and ecosystem processes, as well as in developing diagnostic, therapeutic, and preventive approaches for human and animal diseases. It is Texas State’s policy to provide all animals used in education and research with humane care and treatment.

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

## UPPS 02.02.06 Research Cash Advances

* 1. 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://gato-docs.its.txstate.edu/jcr:fdb51798-62e8-4ba6-b5f7-39d7bf1bb89a/Paying%20Human%20Subjects.docx)).

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

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

* 1. 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).
  2. 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

01.02This 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

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

## UPPS 02.02.09 Email Recruiting of Research Participants

* 1. 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., *@txstate.edu*).

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

## UPPS 02.02.10 Export Control Laws and Regulations

01.01This policy describes the Texas State University procedures on export control laws and regulations.

01.02Texas State must comply with United States export control laws and regulations including, without limitation, those implemented by the Department of Commerce through its Export Administration Regulations (EAR) and the Department of State through its International Traffic in Arms Regulations (ITAR), as well as those imposed by the Treasury Department through its Office of Foreign Assets Control (OFAC).

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

## UPPS 02.02.11 Addressing Allegations of Misconduct in Academic Research and Scholarship

01.01The integrity of the academic research and scholarship process is an essential aspect of the intellectual and social structure of Texas State University. Research, as described in this policy, includes all research, development, scholarly, and creative activities that support the intellectual endeavors of the university. The term research encompasses all associated activity, regardless of its empirical nature or methods. Although incidents of misconduct in academic research and scholarship may be rare, those that do occur may threaten the entire research enterprise. This policy addresses how the university deals with allegations and incidents of misconduct in research.

<https://policies.txst.edu/university-policies/02-02-11.html>

## UPPS 02.02.12 Applying for Sponsored Programs (Graduate Students)

* 1. This policy will:

1. provide direction to faculty and staff supervising graduate student applications for external funding;
2. provide guidelines for graduate students developing and submitting proposals to support their own studies and research through the Office of Sponsored Programs (OSP); and
3. describe the procedures and timelines for applying for grants, fellowships, scholarships, and other awards that must be submitted by the vice president for Research and are developed with The Graduate College’s research coordinators.

<https://policies.txst.edu/university-policies/02-02-12.html>

**03 Fiscal Operations**

## UPPS 03.04.02 Contracting Authority

* 1. This policy identifies persons who may sign contracts on behalf of Texas State University. This document also establishes policy for obligating the university to external entities, regardless of whether the commitment is written or oral, or whether the commitment involves financial considerations.

<https://policies.txst.edu/university-policies/03-04-02.html>

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

* 1. The purpose of this policy is:
     1. 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
     2. to ascribe appropriate recognition to the personnel who conduct sponsored programs. <https://policies.txst.edu/university-policies/03-04-05.html>

## UPPS 03.04.10 Contracts and Agreements

01.01 This policy establishes responsibility to ensure contracts and agreements are prepared and paid according to federal, state, and local laws; The Texas State University System (TSUS) Rules and Regulations; and Texas State University policies and procedures statements before execution.

<https://policies.txst.edu/university-policies/03-04-10.html>

**04 General Administrative Services**

## UPPS 04.03.03 External Audits and Auditors

02.01 External Audit – any review or investigation regarding compliance, financial or operational information, safeguarding and verification of assets, economical and efficient use of resources, and effectiveness of operations or programs conducted by external agencies such as public accounting firms, governmental auditors, regulatory offices, and funding sources.

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

## UPPS 04.04.03 Staff Employment

01.01 This policy establishes Texas State University’s employment procedures for regular, project, and non-student, non- regular staff positions, including those on grant and contract funds. This policy also describes recruitment, hiring, promotion, and transfer procedures, and ensures that each employment action conforms to the university’s policy, fund availability, and mission.

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

## UPPS 04.04.08 Determining Contract Labor and Independent Contractor Status

03.01 Account managers should realize that simply classifying a worker as an independent contractor does not make it so. All aspects of the actual working relationship will be used to determine if the university has the right to exercise direction and control.

<https://policies.txst.edu/university-policies/04-04-08.html>

## UPPS 04.04.11 University Classification and Compensation

01.01 This policy sets forth classification and compensation procedures for all staff employees, including those paid from grants and contracts. Except in some situations as provided in this policy, the provost and executive vice president for Academic Affairs determines classification and compensation procedures for faculty. The executive vice president for operations and chief financial officer must approve any exceptions to this policy.

<https://policies.txst.edu/university-policies/04-04-11.html>

## UPPS 04.04.12 Pay Above Base Annual Salary for Staﬀ

* 1. 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.

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

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

* 1. 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>

**05 Logistical Services**

## UPPS 05.01.01 Texas State University Property and Equipment

01.02 This policy applies to all university property and equipment, regardless of the source of funds from which these items were acquired. Property and equipment donated to the university are included under this policy.

<https://policies.txst.edu/university-policies/05-01-01.html>

## UPPS 05.01.02 University Surplus Property (Equipment and Consumable Supplies)

* 1. This policy establishes procedures for the determination and disposal of Texas State University equipment and consumable supplies as surplus property.

<https://policies.txst.edu/university-policies/05-01-02.html>

## UPPS 05.02.02 Texas State Purchasing Policy

* 1. The purpose of this policy is to identify the requirements when purchasing goods and services for Texas State University.

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

## UPPS 05.02.05 Texas State Procurement Training and Certification Requirements

01.03 This policy applies to all Texas State procurers who routinely purchase goods, services, or prepare competitive solicitations to procure goods or services on behalf of Texas State, including utilizing the following Texas State procurement processes:

a. use of procurement cards (P-cards) for any procurement, regardless of the amount;

b. use of P-card for any procurement exceeding the standard Texas State P-card spending limits;

c. use of the procurement systems; and

d. any other approved procurement process at Texas State.

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

## UPPS 05.02.06 Acquisition of Information Technology Products and Services

01.01 This policy identifies guidelines applicable to the acquisition of information technology (IT) products and services including, but not limited to, the purchase, rental, lease, or free acceptance of IT products and services from third-party providers.

<https://policies.txst.edu/university-policies/05-02-06.html>

## UPPS 05.02.07 Vendor Management

01.02 This policy establishes the guidelines for vendor management with Texas State including, but not limited to, the creation of vendors, changes to existing vendor records, and the archiving of vendor records.

<https://policies.txst.edu/university-policies/05-02-07.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 05.06.05 Business Travel

01.02 All Texas State business travel for faculty, staff, students, prospective employees, contractors, grant participants, or any other approved travelers will be subject to Texas State policy and procedures.

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

**06 Community Relations/Public Service**

## UPPS 06.04.01 Memberships in Professional Organizations

01.01 The purpose of this policy is to set forth procedures concerning payments from Texas State University funds for institutional and individual memberships in professional organizations.

<https://policies.txst.edu/university-policies/06-04-01.html>

**07 Student Services**

## 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 Graduate Student Employment

01.02Specific objectives of this policy include:

a.provide clear information to students, staff, and faculty about graduate student employment in assistantship positions;

b.ensure compliance with federal, state, and university regulations, policies, and guidelines;

c.complement and strengthen the educational program and support the educational goals of the student; and

d.assure that Texas State University’s graduate student employment policies are competitive for recruitment and retention at the state and national levels.

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

[Division Policies - Research](https://policies.txst.edu/division-policies/research.html)

## R/PPS 03.01 Limited Submissions for Certain Sponsored Programs

* 1. 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.html>

## R/PPS 03.02 Applicable Cost Standards for Sponsored Programs

* 1. 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/03-02.html>

## R/PPS 03.03 Fixed Price Agreements – Residual

* 1. 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/03-03.html>

## R/PPS 03.04 Fee for Service

* 1. 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/03-04.html>

## R/PPS 03.05 Cost Sharing on Sponsored Programs

* 1. 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.
  2. 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/03-05.html>

## R/PPS 03.06 Research Service Centers

* 1. 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
  2. As a recipient of federal funds, Texas State complies with current applicable circulars published by the U.S. Office of Management and Budget ([OMB](https://www.whitehouse.gov/omb)). Generally, the university follows the [OMB](https://www.whitehouse.gov/omb) guidelines for all sponsored projects, regardless of the funding source.

<https://policies.txst.edu/division-policies/research/03-06.html>

## R/PPS 03.07 Program Income on Sponsored Programs

* + 1. 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/03-07.html>

## R/PPS 03.08 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/03-08.html>

## R/PPS 03.09 Faculty Incentive Compensation for Externally-Funded Sponsored Programs

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/03-09.html>

## R/PPS 03.10 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/03-10.html>

## R/PPS 03.11 Effort Reporting on Sponsored Programs

02.01 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/03-11.html>