



**Brigham Young University**

**Sponsored Programs**

**Handbook**

**of**

**Policies & Procedures**

**The Office of  
Research & Creative Activities**

**(ORCA)**

**July 2017**

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## ***FORWARD: WHY THIS HANDBOOK***

Faculty members are expected to have academic interests that result in various forms of scholarly activity. Students at both undergraduate and graduate levels may likewise be asked to participate in research and other creative activities. The general university budget provides support for such scholarship in several ways—through budget allocations directly to departments and hence to individual faculty, and through special appropriations for equipment, supplies and other support to carry out modest individual programs. However, more substantial research and creative programs usually require additional resources. These may come in the form of gifts, or as grants or contracts from sponsoring agencies or the private sector. Most such support is given for traditional research, but many activities which do not fit the general definition of research are also supported by external funds. “Sponsored Program” is a term that covers any externally funded work where a deliverable of some sort (report, device, work of art, etc.) is expected by the sponsor.

Sponsored programs are supported by an environment of policy, procedure and accumulated experience and wisdom. This handbook is intended to bring much of the appropriate university policy and procedures into one reference as an aid to faculty who participate in work funded from external sources. In addition to policy, it is important to keep the university’s philosophy on research in mind. BYU’s philosophy on scholarship is discussed in more detail in the “Expectations of a Faculty Performing Sponsored Research, Policy Statement” which is available from the ORCA office. Sponsored projects are intended to support faculty and student development and to be consistent with the priorities of the individuals, departments and colleges; and with university priorities and values. Because this handbook must serve both the experienced person and the novice, the text may be more or less detailed than you might prefer.

The handbook is designed to lead users through the process of seeking and obtaining funds and to assist in the management of funds and projects. The Appendices are designed to provide further instruction or to assist you in finding offices, forms, and other necessary tools needed for research.

Finally, interpretations, explanations and suggestions have been offered that come from the combined experiences and resultant wisdom of faculty and administrators over many years at BYU. The pursuit of external funds is a competitive game, but well within the capabilities of most faculty who persevere in the process. We hope the handbook serves you well and we welcome any comments or suggestions.

## ***PROPOSAL SUPPORT — PRE-AWARD CONSIDERATIONS AND POLICIES***

### ***Before You Begin***

Before you enter into sponsored research and creative activities at BYU, you should have some idea of BYU's policies and practices. Much of the policies will be similar to other universities' policies, but there are specific matters of policy and practice that are different. The following pages provide guidance in some matters, but will not cover all details. The ultimate reference for BYU policy is the *University Policy Handbook*. This handbook is maintained in electronic form only and contains a variety of approved statements on matters that relate to research and creative activities. The Office of Policies & Procedures, A-357 ASB, can assist you in searching for specific information.

### ***Principles Governing the Pursuit of Externally Sponsored Research at BYU***

Brigham Young University encourages faculty to seek external funding in support of their scholarly work. The Board of Trustees has imposed no limit to the amount of external research funding that can be accepted. However, the university follows certain principles in its pursuit of research sponsorship of external funding agencies. While a more complete treatment of scholarly work and its support through external funding is given in the policy statement *Expectations of Faculty Performing Externally Sponsored Research*, which is appended to this handbook, the following general principles are offered in determining whether a particular external funding opportunity is appropriate:

1. The proposed externally-funded research should be student-centered, appropriate to the mission of the department, college, and university, and consistent with disciplinary norms.
2. The work should be a part of the principal investigator's balanced academic load with appropriate consideration of the faculty member's time and other assignments.
3. The hire of full-time personnel (*e.g.*, post-doctoral fellows, research associates) supported by external funding is part of the academic training in some disciplines, and is justified in some research endeavors. Support of such personnel is temporary, and should be consistent with the limits outlined in *Expectations of Faculty Performing Externally Sponsored Research*.
4. The work's potential obligations for research space, equipment, and any university cost-sharing should be negotiated in advance with the chair and dean.
5. Funded research should contribute to the scholarly generation of knowledge, producing a peer-reviewed publication, report, product, device, creative work, new technology, research-related training, or other equivalent return.

Externally funded research should not be undertaken that constitutes work for hire, is classified, or presents permanent restrictions on faculty publication of the research.

6. The work should avoid exposure of the Church, the university, and its faculty and students to impropriety, inappropriate stipulations, or undesirable scrutiny. Questions in this regard may be directed to the AAVP – Research and Graduate Studies.

### ***The Proposal—General Considerations***

The secret to obtaining support is having good ideas, the capability of explaining those ideas, and the skills to carry out the proposed work. There are several ways of seeking funds described below.

#### *First — Responding to Program Announcements and RFPs*

Most federal agencies and other major sponsors publish annual descriptions of their programs and may also put out Requests for Proposals (RFP). Their annual program announcements and descriptions provide such information as topics of interest to the sponsor, dates and procedures for applying for support, and titles and names of contact individuals. Their announcements act as standing RFPs. In some cases, sponsors will publish a RFP for a particular study. These RFPs appear on a host of internet sites as well as in various publications.

The Office of Research and Creative Activities (ORCA) monitors funding opportunities and maintains certain funding databases. The university carries a subscription to a national internet database of funding opportunities entitled “PIVOT” sponsored by Community of Science. PIVOT can be accessed via any University connected computer at the following web address: <http://pivot.cos.com>. Instructions for utilizing this database can be found with department and college offices, and from ORCA. Also available to investigators is the Federal Government Website <http://www.Grants.gov>. This is the electronic portal through which most all proposals will travel to the various federal agencies. Grants.gov is divided into two parts labeled ‘Find’ and ‘Apply’. As the labels infer, the ‘Find’ function is a database of all federal funding opportunities. The ‘Apply’ function allows investigators to submit proposals to the Federal Government funding Agencies. Lastly, ORCA subscribes to a database of Foundation funding sources. Over 30,000 foundations are represented in the “Foundation Directory Online.” The website is located at <https://fconline.foundationcenter.org>. The university user name is ‘byuacadvp’ and the password is ‘cougars2002’.

#### *Second — Unsolicited Proposals*

While much of sponsored program support comes via successful responses to program announcements or to RFPs, funding may also be obtained in less formal ways. Often conversations with associates in the private sector, in foundations, in

agencies or elsewhere provide invitations to talk about your ideas and/or submit a short letter or pre-proposal for consideration. Many potential sponsors publicize program opportunities in rather general literature or in broad agency announcements. In pursuing such leads, it is always wise to phone or write to the agency or foundation before actually writing and submitting an unsolicited proposal. It is also possible to simply write to agencies, companies and foundations outlining your proposed work. This latter approach is much like the “cold call” of a sales representative and can be less productive than other methods of seeking support.

### *Types of Funds*

It is important to recognize that money from external sources may take more than one form. It may be provided as unrestricted gifts or as grants, contracts, purchase orders, etc. Gift monies may support a variety of research and creative activities, but are not generally managed by ORCA. Gifts are likewise subject to different policies than other sponsored funds. It is essential to remember that actual gifts do not carry expectations of deliverables. That is, they do not require a scope of work, reports, or other tangible and direct benefits to the sponsor. If you have any questions about the nature of your support (e.g., is it a grant or a gift?) please contact ORCA. For assistance in receiving or soliciting gifts you should talk with LDS Philanthropies (see address in Appendix 1).

### *Grants and Contracts*

Most sponsored awards take the form of grants or contracts of several types. Specific definitions of grants, cooperative agreements, fixed price, full cost recovery and other contracts are found at the end of this handbook as Appendix 3.

In basic terms:

- **Grant** = assistance from a sponsor, and is a P.I. generated idea for the project.
- **Contract** = procurement by a sponsor, and as such it is sponsor driven.

All of these types of awards have expected deliverables, terms and time frames. All such awards are managed through ORCA.

## ***THE PLAYERS***

Before proceeding to the actual process of obtaining and managing sponsored projects, it is important to identify the key individuals and offices involved. The process of obtaining support and carrying out sponsored work is clearly one requiring close coordination of these key players.

### *The Principal Investigator (PI)*

The critical person (or persons, if co-investigators) in the process is the faculty member who is the responsible individual for conceptualizing and carrying out the work. At BYU, only faculty on regular appointments and certain research faculty may be principal investigators. This policy is required to meet the legal responsibilities of the university when accepting sponsor funds and provides protection for both the sponsor and the university. The PI is the actual director of the project and has the primary responsibility and right to conceptualize and carry out the study involved. He/She is responsible for managing the work and for understanding and complying with both the sponsor's and the university's policies and procedures. The scope of work of the project is developed and pursued by the PI. However, negotiations of contractual terms and actual acceptance of grants or contracts is the responsibility of the Associate Academic Vice President for Research and Graduate Studies through ORCA. Graduate and undergraduate students, post-doctoral fellows, research associates and technicians are not eligible as PIs but may be involved with the research and supported by funding from sponsored programs. Similarly, faculty members that are employed as consultants to a sponsor may not also be the P.I. of a research project on campus doing the same work as that he/she undertakes in the role of consultant.

### *Research Faculty and Employees*

In addition to the several regular faculty ranks—who may be PIs, co-PIs, or participants on sponsored programs—there are several other categories of research personnel. The categories include Post-Doctoral, Visiting Professor, Research Associate, Research Staff, Research Assistant and Research Technicians. Students may also be employed in several capacities as wage employees. Responsibilities of these employees within the projects are determined by the PI.

### *Retired Faculty*

Retired faculty members may be a P.I., co-P.I. or Investigator on a sponsored project for a period of three (3) years following retirement. At that point BYU Policy prohibits them from participation.

### *Department and College Administrators*

The department chairs are key players in all sponsored programs. They are

responsible for overall direction of faculty effort within their units and for all departmental resources such as facilities and equipment. They are also directly responsible for the financial resources of their department—including sponsored funding. The dean's office and administrators working under the dean's direction have similar responsibilities on a broader scale. Department chairs and deans initiate the approval process for sponsored programs and bear some responsibility for ongoing performance of the work. They should be included in substantive discussions and decisions involving sponsors, e.g., changes in scope of work, faculty or other resource needs.

### *ORCA and Central Administration*

The director and associate director of ORCA, along with Technology Transfer, Creative Works, and other appropriate offices and individuals in the central administration, are authorized to negotiate terms of awards including budget preparation, intellectual properties considerations and other matters. Actual signature authority is reserved for the Associate Academic Vice President for Research and Graduate Studies. Other Vice Presidents, the President and the Director of ORCA may also be involved in the signature process when the Associate Academic Vice President for Research and Graduate Studies is unavailable or when special circumstances require their involvement.

ORCA and the Grants & Contracts Accounting Office have the responsibility of working with PIs in managing project funds as detailed later in the handbook.

A more complete description of policies and procedures involved in externally sponsored research is found at the ORCA website: <http://orca.byu.edu>.

Topics covered include:

- ORCA Staff and their current assigned tasks and areas of responsibility
- Grants and Contracts forms, workshop descriptions and calendar and funding activity report
- Research with Human Subjects
- Research with Animals
- Research with Biosafety Materials
- Mentoring Environment Grants for Faculty (MEGs)
- ORCA grants for undergraduate students (ORCAs)
- Policies
  - Asset Property Management
  - Conflict of Interest and time Commitment
  - Controlled Substances
  - E-Verify
  - Expectations of a Faculty Performing Externally Sponsored Research
  - Export Controls

- Externally Sponsored Research Principles
- Financial Conflict of Interest
- Intellectual Property
- Misconduct in Science
- Recharge Service Centers
- Subcontracting
- Research Compensation
- Travel
  
- Reports
  - Annual Report of Sponsored Research
  - Sponsored Programs Handbook (this document)
  - Monthly Funding Activity Report (FAR)
  - University Scholarly Productivity Report
  - Seeking External Research Funding Manual
  
- Journal of Undergraduate Research 1996 to Present
  
- Forms used in Sponsored Research
  - Research Agreement Templates
  - BYU – ORCA Internal Summary Sheet
  - DHHS Audited Rate Agreement
  - A-133 Audit Report
  - Research Salary Payment Request
  - MEG & ORCA Proposal Templates
  - IRB (Human Subjects) forms
  - IACUC (Animal research) forms
  - IBC (Biosafety) forms

## ***THE SPONSORED PROGRAM PROCESS—POLICIES IN SEQUENCE***

### *Proposal Preparation—General Advice*

The preparation of a proposal is a shared process. ORCA cannot write proposals. That critical task is the responsibility of the faculty member(s) and others involved. ORCA will assist you in meeting all of the sponsor requirements and in interpreting their RFPs or other literature. Some general outlines and formats of proposals are found at the end of this handbook as Appendix 5. You should pay particular attention to the deadlines for submitting your proposal and start working with ORCA a number of weeks before that date. **ORCA should be given a minimum of 4 - 5 working days to review and approve a proposal.** ORCA will assist you in preparing your budget and in reviewing the negotiating terms (if required at this step). Assistance will also be provided in matters of compliance to sponsor regulations, particularly federal requirements. Because of the inflexibility of federal and other deadlines and because of the need for review and authorization on campus, we need as much lead time as possible to assure a smooth proposal submission process. The following are both official university policies (so indicated) and advice/explanations on the several considerations involved in the pre-award activity of sponsored program work.

### *Budget Preparation - Rebudgeting, Direct and Indirect Costs (now called Facilities and Administration (F&A))*

Sponsored programs—be they of a research, instructional, outreach, or other nature—are activities with a purpose. They involve the use of time, facilities, special capabilities and other resources of the university. When such resources are devoted to the interests of the sponsor they are not fully available for other uses by the university. There are genuine costs associated with the conduct of sponsored programs. If these costs are not reimbursed by the sponsor, they are then borne by the university. Thus, reimbursement must be sought for all costs including indirect costs.

Management of sponsored programs requires universities to track all the costs and assign them to the budget categories accepted in the sponsored program environment. Guidance in this process is provided by the federal Office of Management and Budget (OMB) Uniform Guidance which is updated regularly by the federal government. (See also definitions in Appendix 2.) It is understood that expenditures do not necessarily follow exactly as budgeted and approved by a Sponsor. If deviations of 15% or more, or in excess of \$200,000, of the total budget structure are anticipated or encountered, a *written request for rebudgeting* between budget categories is required. Depending on the Sponsor, approval may either be requested from them or may be able to be approved by the University's Administration. If expenditures differ from budgeted categories less than 15%, and less than \$200,000, of the project budget, then no written request for rebudgeting is necessary. Grants and Contracts Accounting Office and ORCA will monitor

budget and spending levels.

The OMB Uniform Guidance provides federal cost principles and definitions for the relationships between federal agency sponsors and contractors and/or grantees. BYU applies these same principles and definitions to private agencies, industry and foundations. The Circular identifies two categories of cost—direct costs and facilities and administration. The latter is usually called “overhead” or “indirect costs,” on campuses throughout the United States. The following are definitions of each and some examples:

*Direct Costs*<sup>1</sup>

**Direct Costs are those costs which can be identified specifically with a particular sponsored project, an instructional activity, or any other institutional activity; costs that can be directly assigned to such activities relatively easily with a high degree of accuracy.** The university considers the following as direct costs (though this list is not all inclusive):

- Salaries and Wages
- Fringe Benefits on salaries and wages
- Communication Costs
- Computing Costs
- Travel
- Publication
- Materials and Supplies
- Equipment
- Subcontracts and Consulting Agreements
- Other Direct Costs

In terms of faculty salaries, NSF in particular and most other sponsors in general assume that some effort will always be required by the faculty investigator. Some level of effort must therefore always be shown in the budget. Zero effort means, to the government, that nothing is being done by the P.I.

In summary, direct costs are actual costs which are specifically assigned to the project involved. They must be clearly documented and defensible. They must be charged at the same rates to the federal sponsors as charged to others. These types of costs cannot be charged as both direct and indirect costs.

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<sup>1</sup>For a full and detailed description of both direct and indirect costs, see Appendix 3.

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

**Indirect costs are resources spent in support of more than one activity or program where this support cannot be tracked directly to any of the individual activities of the organization. Utility costs, general administrative expenses, depreciation of equipment and facilities are common categories of indirect costs.**

This definition suggests that there is a general cost of doing business involved when the university participates in sponsored research. Facilities, faculty, students, and supportive services are available because they are maintained by the university for other purposes. When we redirect these basic resources to general support of research and other sponsored programs without specific direct assignment to projects, we are incurring indirect costs.

Indirect costs usually are related to direct costs on some formula basis. The formula prorates the indirect costs to all eligible functions. These indirect costs can then be recovered in part through charges to project sponsors. Most sponsors accept these costs as an allowable charge to grants and contracts because they, too, incur such costs which must be reflected in their overall operating expenses.

Indirect cost rates for the university are negotiated with the Department of Health and Human Services (DHHS) which has been designated as the university's cognizant federal agency for this purpose. These negotiations are based on actual costs incurred by the university in a prior fiscal year or years.

The elements that may be included as indirect costs are proscribed by the OMB Uniform Guidance and include:

- Building and Equipment Use Allowance (Depreciation)
- General and Administrative Expenses
- Departmental Administration
- Sponsored Program Administration
- Library
- Student Services
- Secretarial and Clerical Wages and Benefits

### *BYU's Indirect Cost Policies*

BYU's approach to indirect cost recovery is direct and fiscally conservative. We require the full collection of indirect costs as per our negotiated rate. Where agencies cannot or will not pay the full costs, only the central administration can provide an "exemption" of the indirect costs shortfall or agree to "waive" or "cost

share” the indirect costs.

BYU rates are calculated on a Modified Total Direct Cost (MTDC) base. This means the total direct costs of budgets are subject to indirect costs, with some modifications. Capital equipment purchases (those in excess of \$5000 per item) are exempt, reimbursement paid to non-BYU conference participants are exempt and only the first \$25,000 of subcontract costs are subject to indirect costs. The Summary Sheet form (Appendix 4) illustrates how these costs are calculated. Questions can be discussed on an individual basis with ORCA.

Budgets are all subject to the on-campus rate. An off-campus rate is available under certain criteria and its use must be negotiated by ORCA.

At BYU, funds collected as indirect costs become part of the total university budget. They are thus used to support those functions identified earlier by the budget allocation process. They are not returned to the College or Department or investigator as is done at many other institutions. In lieu of returned indirect costs, the university makes available a generous sum in the form of three internal funding sources:

- Dean’s special funds: these monies are used by each dean to support research. Small grants can be used as seed money for larger projects. Continuing support may be able to enhance the undergraduate experience with mentored projects outside of class.
- Departmental budgets are supplied with the funding to maintain current computing equipment for each faculty.
- Funding for special equipment allocations are made by the Associate Academic Vice President for Research & Graduate Studies to departments and colleges.

<b>SUMMARY OF DIRECT AND INDIRECT COSTS</b>		
	<b><i>Direct Costs</i></b>	<b><i>Indirect Costs<sup>2</sup></i></b>
<b><i>Salaries &amp; Wages</i></b>	Percentage of effort applied to accomplish research objectives.	Percentage of effort devoted to departmental or general administration.
<b><i>Fringe Benefits</i></b>	Same as salaries and wages.	Same as salaries and wages.
<b><i>Communications</i></b>	As required to fulfill sponsor agreement, including long distance telephone, fax, and dedicated phone lines for computer hookup.	General and administrative communications costs, basic telephone and fax services.
<b><i>Computing</i></b>	Costs for producing results of research only.	Costs for unrelated projects or administrative expenses.
<b><i>Travel</i></b>	For travel to present findings to sponsor; to present interim or final reports; to present at directly related conferences.	Support of travel administration or other services associated with travel.
<b><i>Printing</i></b>	Producing final technical reports or to publish appropriate scholarly journals.	Office of administrative printing expenses.
<b><i>Materials &amp; Supplies</i></b>	Technical supplies needed to complete research.	General office supplies and expendable office equipment.
<b><i>Equipment</i></b>	Equipment with unit value over \$5000, life expectancy of 2 years or more, required to complete research.	Equipment not approved by sponsor or general purpose equipment worth less than \$5000. (Non-federally funded equipment may be included in figuring indirect costs.)
<b><i>Subcontracts/ Consulting</i></b>	100%, when university expertise or resources are unavailable.	Indirect costs on the first \$25,000 of each project, each year.
<b><i>Secretarial Support</i></b>	For preparation of technical reports required by sponsor.	General department support.
<b><i>Physical Plant Maintenance</i></b>	Not applicable.	Includes utilities, insurance, building repair and maintenance, security, custodial services, etc.
<b><i>Sponsored Programs Administration</i></b>	Not applicable.	Expenses in ORCA and other central administrative units.

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<sup>2</sup>The items listed are included in indirect cost calculations but indirect costs are not the only sources of support for these items.

### *Cost Sharing* (also referred to as Matching)

The concept of cost sharing involves the contribution of university resources to the pool of required resources necessary to carry out the project. Examples of common cost shared items are faculty or technical time, graduate student support, computing or other special services and/or indirect costs adjustments. *Such resources cannot be pledged to proposals without the specific approval of the appropriate departmental, college and university administrators.*

The cost sharing requirements of sponsors vary. Many sponsors suggest or require cost sharing by the applicant. Industrial sponsors generally do not require or accept cost sharing. Nonprofit organizations generally will seek cost sharing by declining to pay certain costs (faculty time, indirect cost, etc.). Federal sources of funding offer equally varied requirements. The requirement is sometimes a matter of law (e.g., the USDA appropriation act prohibits the payment of indirect costs on sponsored programs covered by cooperative agreements). Grants may be considered a form of financial assistance, and many sponsors consider it mandatory to obtain a cost sharing commitment to reflect that the assistance is merited. However, other federal agencies (e.g., NASA) specifically stipulate that cost sharing is not a requirement. Those agencies offering equipment grants, normally seek cost sharing, often on an equal matching basis.

In general, the university will limit cost sharing to those instances where it is a sponsor requirement and/or where the benefit to the university is clear and desirable.

### *Student Support—Including Fellowships, Stipends, Scholarships, Tuition Remission and Insurance*

Involvement of graduate and undergraduate students in sponsored projects is encouraged. When students are hired as wage employees and/or graduate research assistants, they are subject to appropriate and specified fringe benefit rates of the university and to indirect costs.

In certain situations, student fellowships are included in grants and/or contracts. Fellowships do not create an employer-employee relationship, and as such do not involve specified duties—as do wage or assistantship categories—and are exempted from indirect costs. All fellowships must be specifically identified as such by the sponsor and approved by the university.

In addition to fellowships other types of student support may be considered. These include stipends, tuition remission and scholarships. These forms of student support, like fellowships, are highly regulated at the University and Federal Government levels. Tuition support may only be provided in combination with a research assistantship wage. These costs are only allowable if specifically included as a separately designated line item within the approved budget. If the proposal

does not include these other types of support as a line item, sponsor approval must be obtained before any of these costs are incurred. ORCA will monitor each grant or contract for these approvals; questions concerning this can be directed to the office. These forms of student support are not assessed indirect costs.

A further word about insurance for students on sponsored project awards. In response to recent changes in the Affordable Care Act (ACA), Brigham Young University has been forced to make some procedural decisions. A few of the changes to the ACA increase and broaden the scope of mandated student insurance coverage. These required changes exceed the current limits of BYU student coverage. The institution finds itself in the position of therefore being in non-compliance with the ACA. As a result, BYU has made the following new procedures effective immediately:

- BYU will not pay for student insurance on any sponsored research award.
- Proposals should not budget for insurance costs.
- If faculty principal investigators wish to have their student's insurance covered then the available options are:
  1. Increase the wages of the student so that they can purchase their own insurance.
  2. Have the student purchase their own insurance and reimburse them from a non-research account.

For insurance already purchased for a student(s), the accounting office will contact you for instructions as to where to move the expense.

### *Intellectual Properties Policies*

Many agreements, particularly research awards, have provisions or implications for creating intellectual properties such as devices, processes, compounds, software, etc. Both sponsors and the university are usually interested in coming to agreement on intellectual properties matters early in the relationship.

Because of the prospect for invention or because data is required to complete the research, sponsors may provide confidential and proprietary information to the university. It, in turn, may wish to share unpublished data and findings for similar purposes or as a part of commercializing our discoveries. The Technology Transfer and Creative Works Offices have confidentiality agreement forms and will assist PIs in this process.

While the actual process of disclosure, protection of properties or commercialization of products may not occur until well into a project (or even after

its completion), there are certain matters to be negotiated and resolved at the time of proposal preparation and/or award.

Two items need to be emphasized. **First, time may be needed to negotiate such matters; and second, only those authorized by the university can and should conduct negotiations.** At BYU only ORCA, Technology Transfer/Creative Works, and General Counsel have such responsibility. In particular, we ask that faculty and others do not conduct such negotiations. All too often such well-meant, but unauthorized discussions, result in disappointment and hard feelings when the actual terms and requirements of the university are presented to sponsors.

The BYU Intellectual Property Policy should be understood by all parties. The policy details the range of creations, and discoveries considered as intellectual properties; and discuss ownership of such intellectual properties, rights and obligations of inventors and the role of the offices of Technology Transfer and Creative Works in identifying, protecting and marketing intellectual properties. A copy of the full policy and other assistance may be obtained from the Technology Transfer Office or Creative Works Office, and is included in the Electronic Handbook. The policy is also available on-line at: <http://techtransfer.byu.edu>

#### *Released Time from Regular Assignments*

At many universities, faculty may “buy out” some of their regular teaching assignments in favor of doing sponsored research. This practice substitutes sponsor funds for normal university funds. It releases the faculty member from other responsibilities to do the research contracted. At BYU, this practice is limited to 6 academic year Full Time Equivalents (FTEs) for faculty and 40 FTEs (calendar year) for other employees. These numbers are subject to annual review and may change with time. Please consult ORCA if clarification of current policy is needed. There are no FTE limits during Spring/Summer terms. It is intended that all regular faculty be appointed to a full-time contract. You should keep this in mind as you plan your research. Most often programs are established to use the Summer period or times not assigned for teaching and advising. Department chairs may also work with faculty to accommodate special situations.

#### *Spring/Summer Term Research Appointments*

BYU uses on an 8 month academic year base for salary considerations. This 8 month salary base is used to calculate both summer salary and supplemental pay rates—even for those on extended contracts. This calculation is made by dividing the PI's 8 month base salary by 1,386 hours and then multiplying by 8 to determine the daily rate of pay. Research and other sponsored grants and contracts may provide for added time commitments by faculty, but the total of base plus added time may not exceed 11 months (the university requires a full month of vacation). If one adds the 8 month base with the one month of vacation, BYU contracts are then comparable in length to other institutions across the country that use a 9 month academic year. Section IV, A-C of the University Handbook provides further

definitions and details. ORCA can assist you in determining your appropriate salary level.

### *Consulting and Sponsored Programs*

BYU defines consulting as permissible outside activity “*that brings professional enrichment and benefit (financial or otherwise) both to the consultant and to the university.*”

Where consulting involves more than the faculty member—particularly students or other university employees—ORCA should be consulted and a sponsored program contract may be required. Where university facilities and equipment are involved there may also be a need to reimburse costs.

Consulting may involve conflicts of interest if a faculty member consults and accepts a sponsored award from the same source during the same time period. As noted earlier, a P.I. should not be both P.I. and a paid consultant to the same sponsor for the same project. Each situation should be carefully reviewed with the appropriate university administrator or office.

### *Confidentiality and Non-disclosure*

Occasions arise where proprietary or trade secrets may be shared between a sponsor and BYU faculty, students and employees. In such cases the individuals involved may be required to sign non-disclosure agreements or similar. It is the policy of BYU to strictly protect the confidential information of a sponsor during and after a research project.

Non-disclosure/confidentiality forms are located on the ORCA website: [orca.byu.edu](http://orca.byu.edu)

The process for maintaining the confidentiality of data will be as follows (unless agreed upon in writing by all parties involved):

1. The Principal Investigator would notify ORCA of each occurrence of disclosure.
2. The Director of ORCA, or a designate, would notify the sponsor of the disclosure. Such notice would be sent to the sponsor between 5 – 7 working days from the time ORCA was advised.

## ***HEALTH AND SAFETY COMPLIANCE POLICIES AND COMMITTEES***

In order to protect researchers, research subjects, and institutions, the federal government provides guidelines for certain procedures and processes as a condition of funding. Over time, a number of such compliance matters have been studied at the federal level and either specific signature compliance or more elaborate policy compliance processes are required.

While most of these compliance issues are focused on federal regulations, it is essential to note that oversight of these areas often extends to research and surveys that are funded from other sources or that may be entirely unfunded, e.g., classroom assignments to conduct surveys. If any doubt exists, please call ORCA or the appropriate committee chair. The names and phone numbers of offices, administrators and current chairs are provided in Appendix 1.

### *Human Subjects*

The university and all involved faculty are responsible for the well-being and protection of all individuals involved in research, classroom survey activities and other surveys and demonstrations. All projects, funded or unfunded, which involve human subjects must be reviewed and approved by the Institutional Review Board for Research with Human Subjects (IRB). ORCA will provide assistance and will certify compliance as required for external funding proposals. The appropriate guidelines and application packet can be obtained from ORCA, or can be found on the web at: <http://orca.byu.edu/IRB>.

### *Animal Subjects*

Any research (funded or unfunded) which uses laboratory animals must be reviewed and approved by the Institutional Animal Care and Use Committee (IACUC). If you plan to use animals in your work, please contact, the BYU Attending Veterinarian, who has responsibility for assisting faculty in maintaining animals. Or contact ORCA for the administrator in charge of the IACUC. The appropriate form and guidelines can be obtained from ORCA or can be downloaded from the web at <http://orca.byu.edu>. Click on the 'Animal Research' link. After approval has been obtained, ORCA will provide required compliance statements and certifications for sponsors.

### *Recombinant DNA Use*

Any research which involves the use and manipulation of genetic materials—particularly when changes in DNA are contemplated—requires both approval and oversight by the University Biosafety Committee (IBC). For an overview and forms go the website: <http://orca.byu.edu/>. Click on the 'IBC' link. ORCA will assist you in the application and approval process.

### *Hazardous Chemicals*

The use of chemicals included in the Hazardous Chemicals listing requires compliance with both safety-in-use, and disposal regulations. The Risk Management and Safety Office is the university source for assistance in meeting requirements and serves to monitor our usage in accordance with federal and state safety and health regulations. There is also the Chemicals Management Office which can assist in the acquisition of chemicals and training in the handling of chemicals. See Appendix 1 for telephone numbers and addresses of appropriate offices. There are several manuals available which describe processes and define Hazardous Chemicals.

### *Drug-Free Workplace*

Currently, universities are required to maintain a drug-free workplace. There are also federal proposals under consideration which may ultimately require certification of a drug-free work force. At BYU, use, possession, or manufacturing of any unlawful drug or controlled substance is strictly prohibited except for approved research purposes. The controlled substance officer is listed in Appendix 1 and should be consulted if your program requires use of drugs or other controlled substances. ORCA will provide any required certification that we maintain a drug-free workplace.

### *Misconduct in Research*

A basic assumption of research is that the process is to be carried out in a thoroughly honest fashion and that the integrity of researchers is a given. Obviously, this is an idealistic assumption and dishonesty and other forms of misconduct occur.

Both the Public Health Service and the National Science Foundation have issued regulations regarding the responsibility of institutions in responding to allegations of misconduct by their faculty, students, and staff.<sup>3</sup> BYU has established appropriate procedures and policies to meet the federal agency reporting and corrective standards. Allegations of misconduct should be reported to the Associate Academic Vice President for Research and Graduate Studies through the department chairs and deans. The Associate Academic Vice President will oversee appropriate investigations and will assure compliance with any misconduct policies.

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<sup>3</sup>An excellent reference on misconduct in research was published by the Association of American Medical College in 1992: "Beyond the 'Framework': Institutional Considerations in Managing Allegations of Misconduct in Research."

## ***OTHER PRE-AWARD CONSIDERATIONS***

### *Proprietary and Classified Research*

BYU places a high priority upon freedom to use and publish the results of its research and other sponsored programs. Because of this philosophy, the university will not usually accept wholly proprietary work and will agree only to short term delays or restrictions on publishing. By policy, BYU does not engage in ‘classified’ projects.

### *Conflict(s) of Interest and Commitment*

Federal sponsoring agencies such as the NIH, NSF, DOE, etc. require certification that faculty members seeking research support do not have financial interests and/or investments that are related to, or benefit from, the proposed research projects. A policy governing conflicts of interest has been developed for BYU personnel. The policy is available in the electronic handbook as well as on the ORCA website.

At BYU, faculty involved with companies using university-derived intellectual properties or other commercially valuable research results should consult with ORCA and Technology Transfer/Creative Works Support if any question arises about potential conflicts. Faculty members not on leave are not to be line officers in outside companies. The university is also concerned about any conflicts in commitment to the required professorial duties of faculty and several statements in the University Handbook clarify requirements for changing faculty assignments. The University Handbook also contains several policy comments which relate to conflicts of interest.

### *Insurance*

Many grants and contracts require certifications of specific kinds of insurance. There are also other occasions which require insurance by either the university or sponsor. ORCA will assist you in reviewing your needs and will work with the Risk Management and Safety Office to make sure that appropriate safeguards are in place for your work.

### *Good Laboratory Practices*

Where research might lead to requests of the Federal Food and Drug Administration (FDA) or other agencies for approval of substances (e.g., pharmaceutical compounds) the researchers and university must comply with regulations concerning good laboratory practices. ORCA will assist faculty who might contemplate such research.

### *Approval Process*

There are both general approvals and specific approvals and authorizations involved in sponsored programs. When proposals are submitted, they require approval of the department chair and dean. Such approval indicates a willingness of the academic units to allow and/or commit use of facilities and faculty time for the projects.

Before proposals leave the university, they must be approved by the Associate Academic Vice President for Research and Graduate Studies or, in his/her absence, by other designated central administrators including the Director of ORCA. This approval meets legal requirements for university acceptance of the grant or contract involved. Such approval is particularly required if exemptions to indirect costs, cost sharing or other special commitments are involved.

**Faculty should be aware that the approval process at the university level requires a number of days for processing. Last minute efforts to meet sponsor deadlines may be complicated by difficulties in obtaining university approval if sufficient time is not allowed.**

Specific approvals related to authorization for expenditures, salary payments, overload approval, professional activities in addition to regular university assignments, etc. are required but may not be necessary at the pre-award level. Check with ORCA for a list of requirements on your project.

Forms relating to approvals and authorizations are included at the back of this handbook (Appendix 4). Since such forms are subject to change, you should check with ORCA for current forms before actually submitting the proposal. Current forms are also available on the ORCA website: <http://orca.byu.edu>

### *Submission of Proposals*

Once all of the preparation, compliance and approval process is completed ORCA will record your proposal submission and coordinate the actual submission of proposals. Proposals requiring electronic submission will usually require an authorized university person to do the submission. ORCA administrators are such authorized individuals on behalf of the institution. Occasionally private sponsors will allow for the P.I. to submit a proposal following ORCA's review. ORCA should be aware of all submitted proposals. Again, consideration of time constraints and deadlines is requested. If regular mail is used, a minimum of one week delivery time ahead of the deadline is suggested. If circumstances require special deliveries (e.g., Federal Express, Overnight Mail, Hand Carry, etc.) departments and colleges may be asked to cover added costs of submittal. Remember that airline schedules and unexpected delays in air and other transportation make even the most reliable and fast systems questionable when strict deadlines exist. **No amount of pleading special circumstances will**

**influence those sponsors who receive your proposals late and have published deadlines to honor.**

#### *Negotiations and Changes in Awards*

Rarely will a sponsor accept all requests and provisions of your proposal. The percentage of approved proposals is often low and you should not be discouraged by a refusal or request for re-submission. Somewhere between submittal and final approval of awards, the sponsor may contact ORCA and/or the PI to talk about changes in the scope of work, other terms, and/or the budget and time frames. Regardless of how or with whom the initial contact is made, it is important that ORCA, the PI and others work closely on any revisions. Major changes will require more paperwork and possibly renewed authorizations and approvals.

#### *International Awards and Subawards*

Proposals for international projects will require special review as requirements for participation, legal considerations, monetary arrangements, etc. may result in unique situations and commitments for the university. Additionally international subawardees on grants or contract awarded to BYU now require the foreign entity to be registered in the Federal Government's System for Award Management (SAM) in addition to Prime Sponsor databases such as NIH's Commons or NSF's FastLane. Please work closely with ORCA and other offices to review and approve such requirements.

Sponsored programs frequently require travel on the part of the PI and project staff. Occasionally, a sponsor will impose specific travel regulations (and this imposition must also be approved by the university).

The university has definite requirements and exclusions related to both domestic and international travel. They may also specify certain vendors, travel agencies, etc. Please work closely with Travel Services if your proposal has special or extensive travel considerations.

#### *Working with Industry*

While university/industry relationships are becoming very common at most institutions, including BYU, it is important to remember that industrial sponsors vary greatly in their approach to such relationships and in their experience in working with colleges and universities.

A faculty member may work with industry as a private consultant. This is permissible so long as there is only “minimal usage” of BYU resources. Situations where a faculty member is to be both a consultant and a P.I. of a grant or contract is a conflict of interest that must be addressed or eliminated. The default position of the university is that one cannot be both a consultant and a P.I. on the same project.

The expectations of industry and their time considerations are different from those of both the university and of typical federal agency sponsors. Matters of proprietary information, intellectual properties and the very nature of contracts used often vary from those employed by other sponsors. It is essential that ORCA and Technology Transfer be involved early in any discussions with industry.

*Procedure for Permission and Tracking of Fabricated Equipment on Research Grants and Contracts*

The following has been written in agreement with the Federal Acquisition Regulations (FAR) that govern activities on sponsored grants and contracts. This set of procedures has also been reviewed by BYU’s offices of Grants & Contracts Accounting and Accounts Payable & Asset Management. Criteria for permission and tracking of fabricated equipment on sponsored research agreements:

- Approval of Sponsor
- Sufficient Budget set aside for equipment
- Description, Justification, and estimated Cost of each Part
  - [ ] Each piece must be described as a justification attached as to the reason it is included in the lists of parts.
  - [ ] Each piece must carry an estimated cost.
  - [ ] Use Form: ‘Permission to fabricate capital equipment from the Office of Accounts Payable & Asset Management. Copies are online, in B-34 ASB and also in the appendix.
  - [ ] A copy of the completed form must be sent to the ORCA Office, A-285 ASB, fax 422-0620, telephone 422-3841, e-mail orcastu@byu.edu for inclusion in the account file.
- As each purchase is made, it will be checked off the permission form, described above, in the ORCA Office.
- The fabrication will take a ‘reasonable’ time to complete. This fabrication should normally be expected to be less than six months, but could be otherwise depending on circumstance. Each part will be individually tagged with an asset sticker by the Asset Management Office.
- Replacement parts are not capital equipment; they are supplies unless the item cost is greater than \$5000 and thus meeting the capital equipment threshold in and of itself.
- Software that costs less than \$5000 is not capital equipment under any circumstances.

## ***POST-AWARD ACTIVITIES***

ORCA and the PI will be notified of the sponsor's decisions concerning proposals. The sponsor's response notification triggers a number of processes. If the proposal is refused, you may request copies of the review comments. These can be very helpful. If the proposal is accepted, a number of activities are in order. While some of these activities occur prior to the actual award, most happen afterwards. They are called post-award functions and activities.

### *Establishing Projects and Accounts*

This phase of the sponsored program process is particularly important and requires careful attention to the process and cooperation between several university offices (ORCA, Financial Services, Technology Transfer, Creative Works, etc.). PIs and department chairs should become completely informed about both university fiscal processes and their own obligations to work within policies. The following 9 headings are the official university procedures for establishing and managing project accounts.

#### **1. Initiation of a Research Project**

It is expected that research work will normally not begin and expenditures will not be made toward a research project until after a signed research agreement is in place. The Office of Research and Creative Activities has primary responsibility to review all grant proposals and contracts. If, in their judgment, the financial terms of the contract are consistent with terms and procedures of the University, no additional review is required. If the financial terms or procedures required by the contract are not consistent with those pre-approved, the Office of Research and Creative Activities will consult the Sponsor try to negotiate, in a timely fashion, acceptable terms.

When the contract is signed, the Office of Research and Creative Activities will provide a copy of the contract and budget to Grants & Contracts Accounting. ORCA will also assign an account number, identified according to the nature of the sponsor (federal, private, subcontract, etc.), and request that Grants & Contracts Accounting open the account. Normally, Grants & Contracts Accounting will open the account within two working days. The Office of Research and Creative Activities will also notify the principal investigator that the account is available for use.

#### **2. Pre-award Costs**

In rare occasions, work must begin on a project before the external funding organization is able to process a complete written contract. Thus, requests are received by the Office of Research and Creative Activities to open research accounts so that spending can begin in advance of contract signature. When such

requests are received, the following procedure will be followed:

- a. The Office of Research and Creative Activities will check with the funding agency to ensure that their institutional policies allow BYU to authorize pre-award costs and that the agency approves having BYU begin spending immediately on the project. The sponsor may also be asked if it is possible to advance money to cover the pre-award costs.
- b. Confirmation must be from the sponsor's contracting office or agent, rather than the sponsor's technical manager. If possible, approval should be received either by FAX, e-mail or in writing and should include an authorized purchase order/contract number which can be used for billing.
- c. The Associate Academic Vice President for Research and Graduate Studies in consultation with the college dean and department chair will review the cases referred to in b. and will authorize, in writing (including copies of approvals received in 2b above), that the account be opened before expenditures can begin.
- d. An account number will be assigned and authorization given as 1.

Approval for pre-award expenditures will be given only in cases where there is a clear research-related justification for starting the project before the contract is received. Seldom would the above procedure be used for new projects. It is more often expected that a signed agreement would be in place before beginning work for new projects. Special consideration will be given to renewal of on-going projects where temporary suspension would require laying off employees, many of whom are students, and interruption of the flow of work. In these instances, the principal investigator's dean and department chair will be consulted, since any losses that occur from the process are primarily their responsibility. In making the decision, weight will also be given to our past history of dealings with the funding agency in question.

### **3. Fiscal Responsibility**

The Principal Investigator (PI) is responsible to ensure that all research account expenditures are reasonable, allocable, and necessary in the performance of sponsored activities. The PI or designee is responsible for initiating and approving expenses, as well as monitoring monthly expenditure reports regularly.

BYU procedures should be followed for the acquisition of goods and services from outside the university (refer to the Purchasing Policy in the BYU handbook). In addition, Grants & Contracts Accounting reviews and approves charges made through fast track procurement, travel authorization, expense reimbursements, and journal entry requests.

It is expected that the PI will take primary responsibility for keeping research accounts solvent. University Financial Services will provide timely, accurate, and reliable information to help this process. Foreseeable over-expenditures and significant deviations from budget must be pre-authorized and an alternate account provided to the Office of Research and Creative Activities and Grants & Contracts Accounting by the department chair or dean who has oversight responsibilities for each project.

#### **4. Allowable / Unallowable Costs**

BYU follows the cost principles outlined in OMB's Uniform Guidance. To be charged to a sponsored project, each cost must be reasonable, allowable, allocable, and consistently treated.

- Costs are considered to be reasonable if they:
- Reflect a prudent and responsible action
- Are necessary for the performance of the sponsored project
- Are in accordance with all applicable external regulations
- Are consistent with university policies

Costs are allocable when the cost:

- Is incurred solely to advance the work under the sponsored agreement
- Benefits the project and other work in proportions that can be readily estimated
- Is necessary to the overall operation of the institution (Indirect cost)

Some costs are specifically unallowable on federal sponsored projects. Refer to "Unallowable Costs Guidelines" <http://orca.byu.edu/policies-reports/Policies.php> for additional detail.

It is expected that the principal investigator and department approvers take primary responsibility for following these guidelines. University departments must provide sufficient detailed information describing the item purchased and the purpose to facilitate the review process.

#### **5. Overspent Research Accounts**

Overspent research accounts are sponsored research projects for which expenditures are greater than the budgeted award. This can occur when a preliminary award or a continuation is not funded. It can also arise when a sponsor does not pay however in most cases it is simply that more is spent than is budgeted. It is the responsibility of the principal investigator (PI) to ensure funds are spent appropriately, including remaining within the allotted budget amount. Budget / Expense reports are sent on a monthly basis and should be reviewed by the PI regularly. The following items are expected with an overspent account:

- a. Grants & Contracts Accounting Office personnel will notify the PI of the overspent account and initiate the process of resolving the deficit. This contact will be made by email or a phone call directly to the PI.
- b. It is expected that the PI will resolve any overspent accounts within two months following the month end close when the deficit was incurred.
- c. If the overspent is not resolved within the two-month period, the PI must maintain open communication with their contact in Grants & Contracts Accounting and demonstrate progress towards clearing the deficit. If progress is not being made in a timely fashion, the appropriate department and college contacts will be notified. This may include the department chair, controller, and dean.
- d. If a total deficit in all accounts should exceed \$50,000 for any single principal investigator, \$75,000 for any single department or \$100,000 for any single college, approval for any additional expenditure on an overspent account must also be obtained from the Grants & Contracts Accounting Office. If the above deficit limits are exceeded for three months or more, no additional expenditure can be made from the overspent account without approval from the department chair, dean, the Associate Academic Vice President and the Grants & Contracts Accounting Office.
- e. Ultimately the responsibility for covering an overspent research account rests with the principal investigator, department chair, and dean.

#### **6. Non-payment by the Funding Sponsor**

In rare circumstances, funding Sponsors may default on payments or refuse to pay. When such an instance occurs during the course of a project, the following procedure will be followed:

- a. The Grants & Contracts Accounting Office will notify the Office of Research and Creative Activities as soon as possible.
- a. The Grants & Contracts Accounting Office and/or The Office of Research and Creative Activities will notify the principal investigator, the department chair, the dean and the Associate Academic Vice President for Research and Graduate Studies.
- b. If the project is still on-going, work on the project will be stopped unless alternate funding can be found.
- c. The Office of Research and Creative Activities, together with the Grants & Contracts Accounting Office and, if necessary, the Legal Office will

aggressively pursue payment from the Sponsor.

- d. Ultimately, if payment is not received, the unrecovered expenses will be treated in the same way as referenced in 4e.

## **7. Collection of Indirect Cost Payments**

The Office of Research and Creative Activities will review the project at the contract stage to determine the proper assignment of indirect cost rates. As a guiding principle, full indirect costs will be collected from granting agencies at the current government-negotiated rate with the following exceptions:

- a. Granting agencies with written policies limiting indirect cost payments will be charged at the maximum rate allowed by the agency. The shortfall will be tracked and totaled each year by Research Accounting and by the Associate Academic Vice President for Research and Graduate Studies or be exempted as described in c below. A request for such internal waiver of indirect costs must be indicated at the time of proposal submission, and approved by the Associate Academic Vice President for Research and Graduate Studies.
- b. Indirect cost will be charged at the rate in effect when the research proposal was submitted (unless changed by the sponsor) and remain at that rate through the awarded project period. When a renewal proposal is submitted, the indirect cost rate will be updated to the level effective at the time of the renewal proposal submission.
- c. There are some types of quasi-research awards that are exempt from indirect cost payments. Among these are fellowships, including student supplements, conference grants, etc. Furthermore, the President's Council, upon application from the Associate Academic Vice President for Research and Graduate Studies, may exempt specific projects. Examples of these include educational, curriculum, and training types of grants or contracts in which there are minimal long term personnel commitments. Exemptions will be granted based upon the consideration of costs incurred to the university versus benefits derived. Criteria will include how well the proposal fits into the university mission, the quality of the work and reputation of those making the proposal, and the impact on university resources.
- d. The full on-campus indirect cost rates will be applied only to the first \$25,000 of each subcontract. No indirect costs will be charged to any subcontract above this \$25,000 maximum.
- e. The off-campus indirect cost rate will be charged to those projects that are conducted in the field or in facilities not owned or operated by the university

where the investigator is “off-campus” for ninety (90) consecutive days or more. The on-campus rate will be charged when these conditions do not apply. If only a portion of the project is to be done off-campus, the split between the on and off campus rates will be apportioned according to a rational method mutually agreeable to the Grants & Contracts Accounting Office, ORCA and the principal investigator.

## **8. Cost Transfer Guidelines**

### **APPLICABILITY**

These guidelines apply only to cost transfers to or between sponsored projects.

### **DEFINITION**

A Cost Transfer is a transfer of an expenditure to or between sponsored projects. Cost Transfers include corrections or reassignments of salary, wages, supplies, travel and other direct costs.

### **GUIDELINES**

All costs applicable to a sponsored project should be correctly charged in a timely fashion to the appropriate project operating unit. Delays or errors in expenditure processing and subsequent cost transfers can affect invoicing and payments received from sponsors that could potentially lead to disallowed costs. Cost Transfers are necessary on occasion and require monitoring for compliance with federal regulations, sponsor specific guidelines, and the cost principles that govern fiscal activities on sponsored projects.

In order for a cost transfer journal entry to be posted, journals should be sent to Grants & Contracts Accounting (GCA) **within 90 days of the original charge.** Transfers after the 90 day period should only be requested in extenuating circumstances and must be supported with convincing evidence that the goods and/or services are properly allocable and include an explanation of the reason for the late transfer request. Transfers will not be approved unless they are compliant with all applicable regulations.

In accordance with OMB Uniform Guidance, all transfers must be supported by appropriate documentation. A clear explanation of why the transfer is required and how the charge is directly applicable to the project must be included.

***Descriptions that state “to correct an error” or “to transfer to the correct project” are not adequate.***

### **WHY THE GUIDELINES ARE IMPORTANT**

Proper management of funds is essential to uphold the fiduciary responsibilities of the University. Federal agencies and other sponsors may regard the following activities as indicative of inadequate fiscal or project monitoring:

- Frequent cost transfers.
- Late cost transfers.

- Inadequately documented or explained transfers, especially those which involve sponsored projects with overruns or unexpended balances.

Inappropriate transfers may result in expenditures being disallowed and/or subsequent reduction in funding by the sponsoring agency. Abuse of cost transfers may also result in more severe sanctions, fines, penalties and audit findings applied against the University.

## **PROCEDURE**

Timely examination of the project transaction activity by the PI or financial contact will permit early detection of erroneous charges.

A journal entry should be submitted to GCA (fsresearch@byu.edu) in order to correct an erroneous charge. A clear explanation must be included and copies of all relevant documentation attached to support the entry. GCA shall determine the adequacy of the justification and documentation before processing the journal.

Cost transfer journal entries for transactions older than 90 days will be processed only in extenuating circumstances. The reasons for requesting and submitting a cost transfer after the 90 day deadline must be documented in detail. The PI and requester assume the responsibility for documenting that the late transfer is appropriate, necessary and properly allocable to the award.

### **Guidance for Salary Distribution**

Salary and wage payments that require effort certification may be adjusted at the time of certification to reflect a more accurate distribution of effort. Because effort reports are distributed three times per year (Fall, Winter, and Spring/Summer), cost transfers for these types of effort adjustments may occur beyond the 90-day cost transfer limit. Wage transfer requests to other sponsored projects are **unallowable after effort certification**. If an error is found after certification, those wages will need to be covered by a non-research operating unit

**NOTE: Any improper cost charged to a sponsored project must be removed from the sponsored project regardless of when the error is detected.** In cases when the error is detected after the limits of this cost transfer policy and there are not extenuating circumstances, the costs can only be moved to a non-sponsored account. If GCA becomes aware of an inappropriate charge on a sponsored project, the department will be notified to initiate a transfer to a non-sponsored account. If this transfer is not taken care of within a reasonable amount of time, GCA will transfer the charge to an appropriate departmental account.

### **Issues Related to Cost Transfers**

The situations detailed below are often encountered in the administration of sponsored projects. The proper treatment of these situations will generally

preclude the need for cost transfers. GCA can provide guidance and assistance when these issues arise.

**Advance or Pre-award Costs.** For the effective and economical conduct of a sponsored project it is sometimes necessary for costs to be incurred prior to receipt of the award document and actual funding. In such cases, departments should work with ORCA to set up a preliminary operating unit. The pre-award operating unit will become the permanent project number when the award is effective and cost transfers will not be required or necessary.

**Continuation Costs.** If a continuation award is anticipated after the end date of the project, costs may continue to be charged to the current active research project for three months after the end date. That time period should be sufficient to allow the awarding agency to extend the project and will prevent unnecessary cost transfers. Confirmation by ORCA or documentation from the sponsor indicating the expected extension is required. Please note that in the event that the continuation is not granted, the principal investigator is responsible to cover the costs incurred from a non-sponsored account.

**Unexpended balances.** It is expressly unallowable to transfer costs to a sponsored project for the sole purpose of using unexpended sponsored funds. All transfers must be supported with transaction level detail and documentation showing how the expense directly benefits the project.

## **9. Billing and Financial Reporting**

All billing and financial reporting provided to the sponsor will be issued by the Grants & Contracts Accounting Office in a timely manner. Follow-up on delinquent accounts is also the responsibility of the Grants & Contracts Accounting Office.

## **10. Leftover Funds**

When funds are leftover from a Fixed Price Contract, the following will take place:

- a. The leftover amount will be assessed indirect costs.
- b. If the remaining balance is \$200 or more, it will be set up in a Faculty Consolidation Account under the control of the principal investigator and the department chair will be notified.
- c. If the balance is less than \$200, it will be transferred to the Closed Research account and the contract will be terminated.

## ***POST AWARD POINTS OF EMPHASIS***

### *Mixing Funds and Projects*

While it is a practice of many to charge expenses to several research accounts as needed to keep labs, studios and programs operating smoothly, it is a practice fraught with difficulty. Most grants and contracts prohibit unapproved uses and transfers of funds. **Mixing funds from different sponsors and/or from university sources will cause difficulties and lead to untenable situations with both external sponsors and university financial offices. Thus mixing funds is not allowed.**

### *Revision of Projects*

At times it may be necessary to revise the way project funds are spent, to increase the time duration of the project in order to complete the work, or to change key personnel. Various sponsors have different policies, dollar thresholds and regulations concerning what changes can be made in the budget with and without sponsor approval. As a general rule, if changes in the budget exceed 15% and/or exceed \$200,000, of the whole budget permission from the Sponsor must be sought. ORCA should be contacted in writing about any contemplated revisions in the project budget or time frame, to determine how the change may be approved. The office will monitor policies of Sponsors, particularly Federal Government Sponsors, so as to remain in compliance; and will request permissions for budget transfers as the need and dollar amount require. The university, as well as the sponsor, imposes limitations on the movement of funds within the project. Procedurally, at BYU expenditures in each budget category that exceed or fall below authorized budget levels by less than the Sponsor's threshold will not require budget transfers.

Approval must be given by the sponsor if it is necessary to change key personnel or to extend the termination date of the project. Since some agencies will not allow extensions, you should work very closely with ORCA if a request is to be made. Most extensions will be on a "no-cost" basis to the sponsors. If the extension involves added costs, it will ordinarily take the form of a renewal or new agreement. In all cases, please consult with ORCA before the revision or no-cost extension request is to be made.

### *Subcontracts and Consultants*

While terms of sub-contracts will be clearly identified in the award document, we may frequently need to coordinate activities between BYU and subcontracting and consulting entities. Much of the scope-of-work coordination is done by the PI. ORCA and the Grants & Contracts Accounting Office need to be advised and involved in transfers of funds, purchases, etc. Payments to subcontractors or consultants require the signature of the PI to verify actual performance of the

contractors. BYU does not favor projects which are largely subcontracts or “pass through” in nature.

### *Disclosure of Intellectual Properties*

At some point in many projects creation of devices, compounds, processes, software and other intellectual properties will occur. At this point PIs should work with the Technology Transfer and Creative Works offices to assure appropriate and timely disclosure and protection of intellectual properties. **Since publication of research findings may compromise the intellectual property protection process, it is particularly important to discuss such public disclosure with Technology Transfer and/or Creative Works prior to submission of manuscripts or an oral presentation.**

### *Purchasing and Equipment Management*

The PI is responsible for approving expenditures according to the terms of the award and must become aware of special considerations in procuring services and making major purchases. A common problem is the timely ordering of required equipment. The faculty interest in particular makes and models of instruments may conflict with purchasing policy designed to obtain the best possible prices and to meet fair practices. Sole source requests for equipment require justification and it is the PI's responsibility to work with the Purchasing Office on such requests.

It is also important to know sponsor's feelings about ownership and retention of equipment after projects are completed and/or in the event that a PI moves to another institution. ORCA will assist you in understanding such requirements. The Budget and Inventory Office will periodically verify the location and status of equipment and require PIs to assist in such inventories. Any equipment acquired is subject to inventory control. Procedures for identifying equipment, modifying or moving equipment and disposal of equipment should be understood by the PI.

Lastly it is important to be aware of the policy and procedure required to fabricate a piece of equipment. The procedure is outlined on page 23 of this booklet. The form can be seen in appendix 4.

### *Reports*

Most projects will require several kinds of reports in addition to those of a financial nature. Time and Effort reporting is required to meet federal audit conditions when funding comes from federal sponsors. ORCA and the Grants & Contracts Accounting Office will require a report of faculty, student and administrative time and after each semester. You will be sent the required forms.

Technical reports vary in frequency and complexity according to the terms of each award. There may be periodic progress reports as well as final reports. The sponsor will advise the PIs of any reports required as part of the acceptance process. ORCA

does not monitor nor provide regular reminders of report due dates. Prompt submission of acceptable reports is required and is the responsibility of the PI. **Failure to comply with reporting regulations can delay reimbursement of costs or otherwise cause problems between the university and sponsoring agencies.**

#### *Closeout*

When the work is completed on a particular project, ORCA and the Grants & Contracts Accounting Office will work with the PI to verify full compliance with reports, cost statements and invoices, intellectual property and patent reports and other miscellaneous matters. At this time, a full review and closing of appropriate accounts will take place.

#### *Publications and Student Theses/Dissertations*

It is very important that faculty and students have freedom to publish results of projects, conduct exhibitions and otherwise share with the public the results of their programs. In a few cases (as specified in the award documents) publication may be delayed for short periods of time to meet sponsor needs. When student theses and dissertations are involved, this may mean withholding of such publications from university microfilm or other such traditional publishers. Students and faculty may also desire to copyright the thesis or dissertation. Approval for such actions requires discussion between the PI, students, graduate dean and other appropriate parties. Theses and dissertations so withheld should be secured by the Graduate Studies Division until release is permitted. Care must be taken to avoid constraining the student's right to publish; as such publications are essential in employment and other career development processes.

## ***HANDBOOK APPENDICES LISTING***

Appendix 1. Expectations of Faculty Performing Externally Sponsored Research

Appendix 2. Offices and Addresses

Appendix 3. Definitions of Terms

Appendix 4. The Costs of Research

Appendix 5. Selected Forms used in Research

Appendix 6. Proposal Formats

Appendix 7. Sources of Funding

*APPENDIX 1:*



**Expectations of Faculty Performing  
Externally Sponsored Research**

at

Brigham Young University

Prepared by the

Office of Research & Creative Activities

ORCA

A-285 ASB

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## **Introduction**

President Gordon B. Hinckley has said:

*"This institution is unique. It is remarkable. It is a continuing experiment on a great premise that a large and complex university can be first-class academically while nurturing an environment of faith in God and the practice of Christian principle. You are testing whether academic excellence and belief in the Divine can walk hand in hand. And the wonderful thing is that you are succeeding in showing that this is possible. Not only that it is possible, but that it is desirable and that the products of this effort show in your lives qualities that are not otherwise attainable."<sup>1</sup>*

The faculty at Brigham Young University are an important part of this uniqueness in that they combine high technical qualifications with a commitment to the university, to the students, and to the Gospel of Jesus Christ. They are involved in a wide variety of professional activities, some of which are central to their university appointment while others are supplemental in nature.

## **Purpose**

The purpose of this document is to provide a framework and focus for faculty scholarly activity that will enable the faculty to use their time and talents most effectively in the pursuit of their commitments to the university. The document describes expectations for faculty and presents guidelines to help them meet these expectations and avoid or limit activities that could compromise this commitment. The document presumes that all faculty members in the university maintain exemplary personal standards, and is built around the principles of trust and integrity. It is not designed to initiate unwelcome or inappropriate inquiries into the personal affairs of the faculty, but rather, to encourage openness and cooperation in an effort to determine how a variety of scholarly activities may affect a faculty member's full-time contribution to the university. The purpose is not to convey the impression that the university is opposed to having faculty members become involved in supplemental activities, but to encourage and recognize that university resources, including faculty time, are valuable, and that all faculty at the university have a stewardship to use these resources appropriately.

This intent and commitment is a guiding framework for our external research proposals and our internal programs for mentoring students. The primary support for our programs comes from the departments and colleges. In turn this bedrock of efforts and philosophies are aided and built upon by programs that are managed by central support staff and encouraged by the Vice President and President of the university.

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<sup>1</sup>President Gordon B. Hinckley, Brigham Young University Devotional, October 13, 1992.

President Cecil O. Samuelson, spoke of the unique position of Brigham Young University in an address entitled, “The Importance of Meekness in the Disciple-Scholar”:

“We are very fortunate to be here in this time and this place: In this time, because we live when the Restoration is sufficiently mature to accord us the reality of many heroes and models of successful disciple-scholars of our own dispensation for our edification and emulation. In this place, because on the Brigham Young University campus there is an unusual and perhaps unique concentration of scholar-saints who believe that their behavioral dispositions are as important as their academic expositions.”

### **Guidelines and Priorities**

This document of “*Expectations of Faculty Performing Externally Sponsored Research*” works hand in hand with the *University Policy on Faculty Rank and Status*, which describes in detail, the principles and procedures that apply to faculty working for continuing status and for advancement in rank.

On August 21<sup>st</sup>, 2000 in the Monday morning session of the BYU Annual University Conference, then President Merrill J. Bateman gave an address to the University community entitled, “Learning in the Light of Truth.” As part of that address he said:

“Brigham Young not only understood the importance of disseminating knowledge but also the necessity of being scholars of the first class in all areas of learning (*JD*10:266). On one occasion he said, “Put forth your ability to learn as fast as you can, and gather all the strength of mind and principle of faith you possibly can, and then distribute your knowledge to the people” (*JD* 8:146). For him, science and art are part of our religion.

Consistent with the statements of the founder of this institution and other prophets who have followed, it is incumbent upon us to “advance knowledge and truth” in a consequential manner. Our research should make a difference and improve life upon this planet. The quality of learning in and out of the classroom is a function of the research and learning effort that supports it.”

President Bateman enlarged upon this thesis on several occasions. As part of the Presidents page on the BYU website, he had posted answers to questions from students and others. One particularly pertinent question was:

“Q: What’s most important for professors, that they have good research or that they are good teachers and they embody what BYU is trying to do?

A: What we find is that there’s not a dichotomy between good research and good teaching, that our very best faculty here are doing both, and they stay current in their field because they do research and bring it into the classroom. The finest teachers I’ve ever had have also been leaders of the field.”

President Bateman reflected upon how we might meet the objectives of the university, he noted:

“It’s a program called mentored research, where over time we have a goal to raise a significant amount of funds to help students, both graduate and undergraduate, work on a research project under the direction of a faculty member. At the moment, we have the Office of Research & Creative Activities (ORCA) which provides an opportunity, but we are really interested in expanding that to be much larger than it is today. We have ORCA as a foundation. We’re also providing some professorships that have attached to them money for students. We will do a number of things over the next few years to increase the quality of the faculty/student contact and mentoring opportunity. That is one of the objectives of the administration, and I wanted you to be aware of that as we go forward.”

Scholarship at BYU may take many different forms. It encompasses research that leads not only to new knowledge and original insights, but also to the application of existing knowledge in solving practical problems, the extension and integration of existing knowledge from one discipline into others, and the discovery of new and better means for describing, understanding, and presenting what is already known. Scholarship also includes the joint aesthetic and intellectual endeavor that culminates in significant creative work, whether in the performing, visual, or literary arts. Thus scholarly work may, for example, involve the synthesizing of a new cancer chemotherapy agent, composing a new musical score or a book of poetry, studying the effects of brain disorders on human behavior, developing and testing new teaching methods and materials, unearthing and characterizing dinosaur bones, or publishing a book with a reputable press that analyzes the writings of Shakespeare or Milton.

Faculty members' opportunities are also their responsibilities. What they are privileged to do, they are also duty-bound to do. The flexibility inherent in the faculty assignment adds considerable personal responsibility in the fulfilling of that assignment. Faculty have a primary role in their own development and are expected to work continually toward becoming better and more effective teachers. It is also their responsibility to make effective scholarship an integral part of their professional lives and to strive for excellence through the scrutiny of exacting and refining peer review. The university thus expects its faculty to be more involved in research and scholarship than would be the case at an exclusively undergraduate college or university with no serious research and scholarly agenda. At the same time, the university does not intend to be primarily a research institution with such heavy emphasis on scholarly work that the direct teaching and mentoring of undergraduate students is a secondary interest to faculty members. In order to steer a steady course between those two alternative models, the university has adopted this statement of guidelines that attempts to define the purposes and the forms of faculty scholarship, mentoring, and research support, that includes and embraces external research grants and contracts, that are consistent with the kind of institution the Board of Trustees intends to maintain. No less important, it is the responsibility of faculty to sustain the university in its purpose and unceasingly contribute to its intellectual and spiritual growth. Scholarship is an important and, indeed, necessary part of the purpose of Brigham Young

University. The opportunity to join in the quest for new knowledge and understanding; contribute to the process of artistic performance, expression, or creation; and improve the quality of life should be reason enough for participation—especially when the possibility is there to integrate religious values with the secular. The faculty must be able to successfully meet the challenge of the exceptional students that are now the norm at Brigham Young University. The quality of teaching in an educational institution results primarily from the caliber of its faculty, and the best faculty are those who excel in both teaching and scholarly endeavors. Scholarly work brings the faculty to the frontiers of their disciplines. Teaching and scholarly work strengthens and reinforces one another and, indeed, is a part of the same whole. The excitement of learning and discovery obtained from scholarly activity, as well as exposure to the latest concepts continually filters down to the classroom. This process, important at all levels of the educational enterprise, is particularly important at the university level.

Added to the traditional academic pillars of teaching and scholarly work is BYU's unique perspective that faculty also need to be examples of character and spirituality. The best model for BYU is not to hire the "good scholar," the "good teacher," or the "faithful academician"; rather it is to obtain and nurture those individuals who have demonstrated excellence, or hold promise of excellence, in all three dimensions. But there are also important practical considerations that justify the involvement in scholarly work and shape the model to be followed. Four principal reasons guide the direction for scholarly work at BYU: (1) scholarly work contributes directly to the education of the students through mentored experiences for both graduates and undergraduates; (2) scholarly work helps the faculty to remain current in their disciplines and "alive" in teaching in the classroom and mentoring outside of the classroom; (3) scholarly work establishes the credibility of BYU and the reputation of the faculty in national academic/professional circles; and (4) scholarly work enables the university to recruit and retain the high quality of faculty it desires to have.

### **The Faculty Assignment**

Thus teaching, scholarship, and citizenship are central to the faculty assignment. The mix of these three components varies from one individual to another as illustrated in figure 1. The three corners of the figure encompass one hundred percent involvement in either scholarly work, citizenship activities, or teaching. Any point along the base of the triangle, for example, will define a particular mix of teaching and scholarly work, while moving up the triangle increases the involvement in citizenship activity. Thus, any point within the triangle represents a mix of all three. For example, for the average BYU faculty member (represented by the circle) the assignment in teaching is somewhat weightier (about 50 percent) than the assignments in scholarly work (about 28 percent) or citizenship activity (about 22 percent).

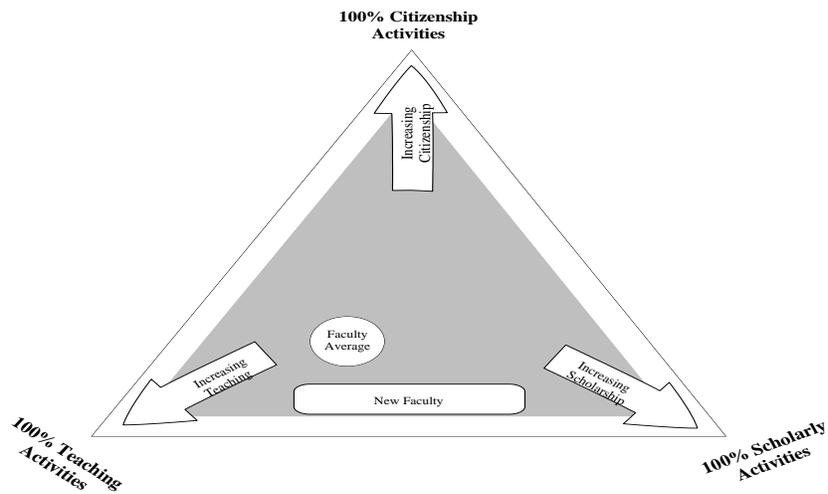


Figure 1

A considerable variance is present among the faculty in the division of their labor. Some have extremely demanding teaching assignments and consequently have a lesser opportunity and assignment in scholarly activities; others have very active, time-consuming research or creative work programs and therefore may spend less time in traditional classroom teaching and more time in research-teaching with a few students; and still others spend a large percentage of their time fulfilling extensive administrative or committee assignments.

With few exceptions, however, professorial faculty members are expected to be involved in all three areas of responsibility<sup>2</sup>.

The shaded area of the triangle, which does not go to one hundred percent at any corner, illustrates the normal range of emphasis. It is apparent that although all faculty are expected to be active in all three areas, the mix can vary greatly and it may change from time to time. For example, new faculty who have not yet been awarded continuing status are normally not expected to carry heavy responsibilities in citizenship activities. Except under unusual circumstances where their special expertise is needed, their activity should be largely a mix of scholarly work and teaching, as illustrated in figure 1.

Acceptance of a full-time faculty contract requires a full-time commitment of time and effort to the appropriate mix of these three components. Faculty members are expected to be

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<sup>2</sup>Professional faculty often have more specialized assignments. They are expected to do their assignments well, but usually are not required to meet the full range and expectations in teaching, scholarly work, and citizenship activities as are the professorial faculty.

accessible to students, including keeping office hours and being available at other times on campus. Furthermore, they are expected to enlarge their experience, increase their understanding, and develop their academic and teaching skills by constantly reading, studying, writing, and learning. At the heart of the university experience for the student is exposure to an atmosphere of inquiry, reasoning, creation, and critical thinking with an opportunity to synthesize and integrate what is learned. This experience is best achieved through close and direct contact between the student and faculty member; a scholarly work provides one of the best vehicles for this interaction. Through interactions, the student learns how to reason, to plan, and, indeed, to think at a level unattainable in the classroom alone.

Involvement in scholarly work makes students more active participants in their disciplines. While this scholarly activity may differ in amount and intensity for the graduate or undergraduate student, nonetheless, it is an important aspect of the learning process for all students.

Scholarly work is a major and necessary component of graduate education, whether its focus lies on basic, applied, or creative efforts. A graduate degree is awarded not simply for the completion of a course of study, but additionally for the completion of a successful project, an acceptable thesis or dissertation, or presentation of a creative work. Ideally, each graduate student is mentored by professors who work with the students to teach principles and techniques of scholarly inquiry or creation; to share in the discovery of new knowledge, invention, or aesthetic expression; and to guide the students to a successful conclusion of their scholarly effort. This is the very heart of mentoring. Often, enduring bonds and friendships are forged between student and mentor that last a lifetime; and long term directions for scholarly inquiry are established.

On the undergraduate level, a faculty–student scholarly work interaction provides close relationships between student and teacher, provides a unique learning experience, and helps to compensate for the large classes that are necessary in some disciplines, especially in initial courses. With this interaction, the faculty member often becomes a friend, consultant, advisor, and mentor. The addition of the one-on-one interaction in the laboratory, field, studio, or office provides a teaching/learning experience that cannot be duplicated in any other way. Such interactions are varied according to the disciplines involved.

In addition to the teaching, scholarly work, and citizenship activities that form the core of the university assignment and are required in various degrees by the individual university appointment, faculty may become involved in a variety of other activities. These additional faculty interests are not inherently inappropriate and they often work to the advantage of the university as well as the faculty member. Most are related to, and complement academic assignments, but some can create potential conflicts of time commitment<sup>3</sup> in that they can

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<sup>3</sup>A conflict of time commitment exists for a faculty member when professional activities or undertakings beyond the university assignments in teaching, scholarly work, and citizenship activity become so substantial or demanding of time and attention as to interfere with responsibilities to the unit to which he or she is assigned, or to students, or to the university.

significantly reduce the opportunity for the faculty member to perform the core responsibilities described above. Some of these other activities may bring additional financial remuneration, and thus, can also create a potential financial or other conflict of interest<sup>4</sup> in addition to the conflict of time commitment.

It is important that faculty members understand university expectations as they carry out their university assignments and become involved with added professional opportunities that can lead to conflicts of commitment or conflicts of interest. The guidelines that follow summarize current university policy regarding the evaluation and approval of these matters. The document recognizes the diversity of the faculty and the variability of the different areas of the university; therefore most of the responsibility for this evaluation and approval is placed at the college and department level.

### **Range of Activities**

The range of professional activities available to faculty is broad and varied. These activities can support or detract from the commitment of the individual to the university, and thus, the relevance and value of each activity should be considered and evaluated by each individual and their department chair. While it is clear that one department or college may view certain activities differently than other disciplines, it is possible to make some generalizations and groupings of the activities in question.

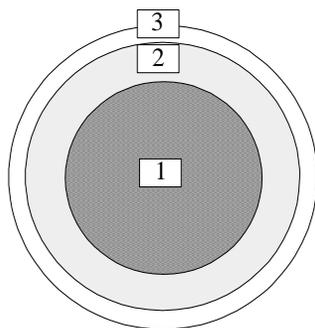


Figure 2 - Types of Faculty Activity

Area 1: Core Activities: Required teaching, scholarly work, and citizenship activities.

Area 2: Support Activities: Acceptable although sometimes specifically limited.

Area 3: Conflicting Activities: Unacceptable except when specifically authorized.

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<sup>4</sup>A conflict of interest exists for a faculty member when his or her external or other activities or undertakings can result in a personal profit or gain that may be detrimental to the university and in some instances can lead to liability and legal difficulties. A separate document summarizes the conditions that lead to conflicts of interest, such as employment outside the university, serving outside interests, influencing university negotiations, participating in political activities, use of university facilities and personnel, etc. Also described in that document are the procedures to follow in working with potential conflicts of interest, especially as they relate to the implementation of government contracts and grants.

Teaching, scholarly work, and citizenship activities are represented by **Area 1** in figure 2. They constitute the core and hence, the primary focus of the faculty member's agenda. The faculty member is under contract to perform these responsibilities, and they are the basis for evaluation leading to retention, salary increases, and advancement in rank as described in the document *University Policy on Faculty Rank and Status*.

The outer circle of the figure, **Area 3**, defines activities that are so removed from a faculty member's professional university assignments as to constitute conflicts. Examples include maintaining a private business; engaging directly or indirectly in the sale of products or services not produced or generated by the university; teaching a regularly scheduled class at another institution; doing research that is proprietary<sup>5</sup> in nature or not BYU related; participating in government or military service (beyond jury duty, serving in the state legislature, or participating in weekend national guard or reserve activities); and taking a second job independent of the university (moonlighting<sup>6</sup>). Such activities are discouraged and should only be undertaken with specific approval. (See section III.C.) As a result of this condition, while under university contract, a faculty member should not serve as a line officer in a private business, maintain a business or professional telephone listing, maintain an off-campus office (other than in the home) or use his or her campus office for business purposes, participate in extended military or government service, solicit sales of a product, or hold a second job outside the university, without the explicit written approval of the appropriate university supervisors (usually the dean and department chair).

Between the required responsibilities represented by Area 1 and the activities described above for Area 3 is a range of other professional activities, represented by **Area 2** of Figure 2, that are often regarded as traditional academic pursuits. Many of the activities that fall within this area directly support and contribute to the university's mission, help faculty become more effective in teaching and scholarship, and are considered to be a part of the faculty member's full-time assignment.<sup>7</sup> Thus core activities represented by Area 1 and activities falling in Area 2 that meet the above criteria combine to make up the full-time faculty assignment. It is understood that some latitude of definition and classification must be left to the several colleges and disciplines on campus in evaluating activities. The final decision as to which Area 2 activities are to be included as a part of the full-time assignment rests with the departments and colleges, but the greatest care and attention must be taken to ensure that proper assignments

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<sup>5</sup>University research should be open to scrutiny and peer review. Proprietary research should be limited to that which, in special ways, directly supports research programs that lead to publication in the open literature.

<sup>6</sup>Moonlighting and consulting (which will be described later) are differentiated in that consulting is limited to outside activity that brings professional enrichment and benefit (financial or otherwise) both to the consultant and the university, while moonlighting is often nonprofessional in nature and benefits only the employee.

<sup>7</sup>Faculty, as professionals, do not work a specific number of hours that are required for a full-time assignment. However, a strong commitment is expected and work beyond 40 hours per week is typical. The university can require the faculty member to abide by the expectations summarized in this document only during week days or time periods when he or she is under a university contract. However, it is the hope that the faculty member will want to extend the time of involvement in professional activities beyond these time periods, and indeed, make them an integral part of all that is done. A recent survey indicates that this does happen. On the average, faculty members at Brigham Young University spend approximately 50 hours per week on activities which are a part of their normal full-time assignments.

are made. Examples would probably include the writing of proposals leading to external research grants and contracts appropriate for Brigham Young University; consulting<sup>8</sup> that strongly benefits core-activity teaching or scholarly work; and involvement through the Division of Continuing Education in the Provo Campus Evening School, the Salt Lake Center, and Independent Study courses including the Degrees by Independent Study program. Continuing Education outreach<sup>9</sup> programs could also be included when a strong tie can be made to the faculty member's professorial role in the university in teaching or scholarship.

The professional support activities (Area 2) as described above are endorsed and encouraged by the university. Nevertheless, special care must be exercised to avoid excessive time and energy involvements that could interfere with core activities and create a conflict of commitment or interest. Since most Area 2 activities result in extra income for the faculty member, faculty and their supervisors should ensure that the primary motivation for undertaking the activity stems from supporting core academic values rather than from a desire for this additional income.

### **Scholarly Work - Research**

The direction for scholarly work at BYU results from an emphasis on faculty recruitment and improvement and from the importance of direct student-faculty interaction in scholarly work as well as in the classroom. All faculty members should be involved in both scholarly work and teaching, but the nature of the scholarly work may vary markedly from discipline to discipline and faculty member to faculty member.

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<sup>8</sup>Consulting is defined as an outside activity that brings professional enrichment and benefit for which one receives compensation from an independent agency. Thus, all off-campus compensated professional activities are included. Generally, the faculty consultant applies his or her expertise to technical or managerial problems. However, clinical and professional practices and services for clients, performances in the arts, private lessons, and participation in certain popular or professional lectures, seminars, and workshops may also be considered in this category.

<sup>9</sup> Outreach programs in the Division of Continuing Education include the Know Your Religion Series, Education Days and Education Week, Youth Programs, Travel Study, and Conferences and Workshops. With the enrollment pressures now present, the university has a special responsibility to provide learning opportunities for the membership of the Church, mostly through continuing education outreach programs. Thus, faculty participation in these programs is important. At the same time, care must be taken to ensure that this participation does not interfere with the core activities in teaching, scholarly work, and citizenship.

Scholarly work as defined here may be of several types: the discovery of new knowledge and original insights that expand human understanding; the application of existing knowledge in one discipline with that of others; the finding of new and better means for describing, understanding, and presenting what is already known; or the creative work that includes artistic performance, expression, or creation. Whatever the nature of the scholarly process, the focus at BYU must be on quality work with student involvement wherever possible. To meet the test of excellence, scholarly work must undergo the refining trial of critical review and acceptance by the scholar's discerning peers at this and especially at other institutions. The review process needs to include the submission of written works (books, articles, reports, papers) for presentation through reputable presses, journals, and conferences, or similarly demanding juried review of artistic and other creative works. The students can, and should, participate in the scholarly activity as well.

The model for scholarship described above, emphasizing individual faculty participation with student involvement, is essentially the one now in place in the university. Each year, the faculty publish over a thousand peer-reviewed scholarly papers and present about a hundred juried artistic works. They also publish over a hundred books and make about two thousand scholarly presentations at universities, research institutes, or professional meetings throughout the world. Over half of the faculty produce at least one peer-reviewed publication or juried artistic presentation each year. Students, both undergraduate and graduate, are active participants in many of these scholarly projects, which often result in their being coauthors or co-presenters of the work. Most of the external funding that supports this scholarly effort is in the form of grants or contracts of modest size administered by individual faculty members.

The level of scholarly accomplishment at BYU is impressive considering the heavy teaching responsibilities and low levels of external funding as compared to most other universities of a similar size, type, and commitment to scholarly work. This relatively high productivity in spite of low external funding levels results from the exceptional dedication of the faculty, the focus of the work, the type of scholarly work being done, the integration of this scholarly work with teaching, and the internal support received. The university, through funding from the Board of Trustees, provides strong internal support for scholarly work. Examples are computer support, a scholarly library, technical support staff, student fellowships, assistantships and internships, faculty release time and professional development leaves, equipment and supplies purchases, travel and research funds, and mentored environment programs that are used to provide the faculty with small, but flexible, grants for support of their scholarly work. These types of university support alone are sufficient to enable faculty in a few disciplines to do quality scholarly work.

However, faculty in many areas require external funding in order to achieve excellence in their scholarly work. This external funding provides necessary financial support for the project but, in addition, benefits the university beyond the individual support in many ways, such as salary support for students (undergraduate, graduate, and post-doctoral fellows), spring/summer salary support for the faculty, and additional funding support for travel, supplies, computer time, and equipment.

At Brigham Young University, research funding is accepted from granting agencies only if there is a report, product, device, creative work, new technology, research related training, or some

equivalent return. Given the opportunity, the faculty are encouraged and rewarded for seeking outside funding, as long as it does not overtax facilities and cut into faculty time devoted to assigned instructional responsibilities, and is of the type that supports the goals of developing quality faculty and providing quality teaching. Within this model, the major thrust for funding is for projects by individual faculty members and programs and by collaborative groups of modest size. In addition, a limited number of interdisciplinary centers or programs that involve several faculty in the university and that may include subcontracting to other universities or research institutes are encouraged.

The funding of large research organizations, essentially independent of the teaching effort, is generally not acceptable. Pass-through grants in which the university acts principally as a research contractor issuing subcontracts to other research organizations are also discouraged. Proprietary grants or contracts in which the results are supplied only to the granting agency are generally unacceptable unless such grants support other research projects in some direct way, since such grants do not allow for peer review and publication in the open literature. In general, BYU seeks research funding that is in harmony with the scholarly and teaching mission of the university and that supports faculty and student participation in the scholarly effort as described earlier in this document.

No limits have been placed by the Board of Trustees on the amount of external research funding that can be accepted at Brigham Young University as long as the guidelines outlined above are followed. There are limitations, however, on the number of university personnel that can be supported from external grants and contracts during the eight month academic year. They are summarized in table 1.

The university seeks funding for research projects that lead to student and faculty interaction. These are the types that have the stimulation, enrichment, and renewal that are important to the institution.

**Table 1.** Full Time Equivalent (FTE) Limitations on University Positions Supported by External Research Funding

Position	Maximum FTE
Permanent faculty supported by faculty research offset <sup>1</sup> during the academic year	6
Part-time and temporary teachers supported by faculty research offset	15
Research support positions (technicians, research associates, etc.)	40
Students (undergraduate, graduate, or post-doctoral fellows)	no limit
Research support for faculty during spring or summer term	no limit <sup>2</sup>

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<sup>1</sup>Under certain circumstances, work on an externally funded research grant or contract requires dedication of a discrete portion of a faculty member's time to the project. In such cases, funds from the grant or contract may be used to pay for or "buy out" that portion of the salary. This process, known as research offset, creates a savings of salary and position in the university budget that can be used to employ additional faculty, temporary teachers, or teaching assistants to help cover the decreased time the faculty member is able to devote to teaching.

<sup>2</sup>The absence of a limit in this category is conditional upon having enough teachers available to teach the spring and summer classes. Present university policy requires that, if needed, faculty members be available to teach spring or summer.

## **APPENDIX 2: OFFICES AND ADDRESSES**

The following offices are often involved in assisting faculty in preparation and/or submission of proposals, in accepting and managing funds and in several other pertinent details. Office names or titles of offices are cited except where faculty members are chairs of committees or where particular individuals in larger offices are assigned to oversee sponsored activities. You should check the phone book for current occupants of positions involved.

Central Animal Care Facilities Manager .....	1104D LSB, 2-3979
Creative Works.....	3760 HBLL, 2-5297
Accounting and Financial Reporting.....	C-233 ASB, 2-2734
Assoc. Acad. V.P. for Research and Graduate Studies .....	A-376 ASB, 2-5995
Benefits Office .....	D-240A ASB, 2-4716
Biosafety Committee, (IBC) Gene Larson, Administrator .....	A-293 ASB, 2-3360
Budget Administration .....	D-208 ASB, 2-4097
Employment Services (Personnel) .....	D-70 ASB, 2-3563
Faculty Center .....	3740 HBLL, 2-7419
Financial Services .....	D-148 ASB, 2-4701
Includes: Payroll.....	D-55 ASB, 2-8186
Purchasing .....	C-144 ASB, 2-3471
Grants & Contracts Accounting.....	A-261 ASB, 2-8025
Travel.....	C-141ASB, 2-3872
Accounts Payable & Asset Management.....	B-34 ASB, 2-3845
General Counsel Office .....	A-357 ASB, 2-3089
Graduate Studies .....	B-356 ASB, 2-4091
Human Resource Services.....	D-238 ASB, 2-3861
Institutional Animal Care & Use Committee (IACUC)	
(Gene Larson, Administrator) .....	A-285 ASB, 2-3360
Institutional Review Board for Human Subjects (IRB)	
(Sandee Munoz, Administrator).....	A-285 ASB, 2-2970
Inventory Office .....	C-27 ASB, 2-3845
LDS Philanthropies .....	C-389 ASB, 2-2577
Office of Research and Creative Activities (ORCA) .....	A-285 ASB, 2-3841
Policies and Procedures Office.....	A-357 ASB, 2-3013
Risk Management and Safety .....	148 Fletcher, 2-4468
Center for Statistical Research .....	223 TMCB, 2-4244
Technology Transfer Office .....	3760 HBLL, 2-6266
University Computing Services.....	167 TMCB, 2-3699
University Attending Veterinarian .....	365 WIDB, 2-2262

### ***APPENDIX 3: DEFINITIONS AND TERMS***

The following terms were selected for inclusion either because they are referenced in this handbook or because they are used in the larger research or sponsored program literature and/or environment. This list is not all inclusive.

**agreement:** A general term for documents or letters defining the relationships between sponsor and institution. Grants and contracts are types of agreements.

**award (or sponsored award):** General term for all sponsored program funds. Awards are categorized further as grants, cooperative agreements, or contracts. Definitions for specific types of agreements follow in alphabetical order.

**confidentiality agreements:** Legal agreements between sponsors and researchers or between the technology transfer office and prospective licensees of properties. These agreements allow access and use of confidential materials but prohibit unauthorized uses and publication of the same.

**consultant:** Individual or organization that may be hired to provide services of an advisory nature, when certain expertise is not available within the university.

**contract:** A contract is used when the sponsor is acquiring something specific for the funds furnished. Each contract document contains a statement of work or services to be performed, and represents a legal obligation by the university. As with other awards, indirect costs are expected on all contracts.

**cooperative agreement:** A government or industrial sponsor provides partial support for an existing or anticipated university research project or mutual interest to the sponsor and the university. While not as exacting as a contract, the provisions of a cooperative agreement should nevertheless be treated with the same respect.

**cost transfers:** The shifting of financial obligations from one account to another. Strict regulations govern the transfer of direct costs between projects and accounts after the initial costs have been charged.

**cost reimbursement contract:** An agreement under which the university is reimbursed for expenses, as they are realized, up to the agreed amount. Such contracts may include a limitation of costs clause to deal with unanticipated expenses.

**cost sharing:** (Sometimes referred to as matching funds) University, college, or department shares the costs of a research project with the sponsor, generally by providing services that will not be underwritten by the sponsor. These include faculty time, mainframe computing services, and related indirect costs. Other types of cost sharing require prior approval of the appropriate university division.

**deliverable:** A tangible product or service resulting directly from the use of funds given to the university, from which the sponsor will receive some material benefit that he would not be entitled to otherwise. Deliverables expected by the sponsor will be included as part of the research proposal and award document.

**direct costs:** Those costs which can be identified specifically with a particular sponsored project, an instructional activity, or any other institutional activity; or that can be directly assigned to such activities relatively easily with a high degree of accuracy.

**disclosure:** There are two pertinent meanings related to intellectual properties. First, public announcement of research findings or creations via papers, presentations, etc. Second, the process and paperwork used in initiating intellectual properties protection by disclosing the details of invention and inventors to the university technology office.

**F.A.R.:** The abbreviation for Federal Acquisition Regulations. A series of bulletins, circulars, memos, etc. which govern the use of federal funds in acquiring services and goods.

**fixed-price contract:** A contract that calls for specific objectives and outputs, to be delivered in specific time frames, for a fixed price. These contracts require particular attention because they involve estimates of costs and time. Because a contract of this type puts the university at financial risk if the provisions of the contract are not fulfilled, such contracts will be entered into only under certain circumstances, with the concurrence of the department head and college dean.

**full cost recovery contract:** Used when a sponsor wishes to contract for a specific research task that is not part of an ongoing university research program, or when the sponsor seeks to obtain greater rights to the technology developed than is provided for under more customary contracts. The sponsor agrees to pay all costs associated with the research project. Such contracts require approval of the Associate Academic Vice President for Research and Graduate Studies. They are not commonly used at BYU.

**gifts:** Funds, equipment or other donations to the university. Such contributions have no formal deliverables nor expectations of return, such as reports, data, etc. Gifts are managed via the Development Office and indirect costs are not collected on gifts.

**grant:** Grants differ from contracts in the latitude given the PI on the scope of work and in the nature of the deliverables. Depending upon the provisions of an award, a grant may be classified by the university as a “gift” or as sponsored funds. The determination will be made based on whether the sponsor expects to receive material gain or deliverables as a result of the award. Indirect costs are collected on all grants.

**grant-in-aid:** An award made to an individual, or to an institution on behalf of an individual, to support his or her educational pursuits.

**indirect costs:** Resources spent in support of more than one activity or program where this support cannot be tracked directly to any of the individual activities of the organization. Utility costs, general administrative expenses, depreciation of equipment and facilities are common categories of indirect costs.

**intellectual property:** The results of scholarly activities, including research papers, books, inventions, computer software, musical scores, articles for magazines and journals, and new technologies. Not all such intellectual properties are subject to university ownership.

**M.T.D.C.:** An abbreviation for Modified Total Direct Costs. This total is used to calculate the amount of indirect costs for each agreement. In some cases, items that meet the definition of direct costs are excluded from the total before indirect costs are calculated. An example would be equipment.

**monthly financial report:** A report furnished to principal investigators by the Accounting Office for each sponsored project, this statement details monthly and cumulative expenditures charged to the project. It should be reviewed promptly.

**no-cost time extension:** Added time to complete a previously agreed scope of work. If the PI believes it will be necessary to work on a project after the contract or grant termination date, but within the existing budget, a request should be made to the sponsor for a no-cost time extension through the Office of Research and Creative Activities.

**O.M.B. A-110:** A federal circular from the Office of Management and Budget. Officially entitled “Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-Profit Organizations.” It establishes procedures, forms, instructions and standards related to grant administration.

**O.M.B. A-21:** A federal circular from the Office of Management and Budget. Officially entitled, “Cost Principles for Educational Institutions.” It discusses, in detail, the reasons and means of determining costs of research, development, training, etc. performed by universities and colleges under grants or other agreements.

**overhead:** A term commonly used in place of “indirect costs” which are associated with research and other sponsored work. A full description of such costs is contained elsewhere in the handbook.

**post-doctoral appointment:** Post-docs are individuals with appropriate terminal academic degrees who are continuing their learning experiences by working on sponsored projects. Their appointments are limited in length—usually 1 to 2 years.

**principal investigator:** The active director for his or her research project, as named in the award document, the PI is responsible for exercising all of the program and technical decisions that affect the project. PIs are usually permanent faculty.

**purchase order:** A method of payment for research or other services. It may specify terms and is, in fact, an agreement or contract.

**quid-pro-quo:** At BYU this term is used to emphasize the philosophy that all research agreements must be structured to have a clear exchange of value between the university and the sponsor.

**research assistant:** A most commonly used category for graduate students involved in sponsored research, but can be used to designate others with BS and/or MS degrees. Faculty are encouraged to involve graduate students in their research to the greatest extent possible by providing financial support through research assistantships.

**research associate:** Special faculty appointment for professionals working on research projects under the supervision of a principal investigator. Persons appointment to this rank are expected to hold a Ph.D. or have equivalent professional qualifications as appropriate to the position. They may have considerable independence in assignments and can become PIs in some circumstances.

**research technician:** Employees with particular skills and training who are hired for a variety of purposes, including support of sponsored programs. Such individuals do not require advanced degrees and work under the PIs direction.

**single source procurement:** A process to assure purchase of goods or services from a specific company or vendor. The university has authorized a single source procurement procedure in recognition that the usual competitive bid procedure does not always provide timely acquisition of specific research equipment.

**subcontractor:** Individual or organization hired by the university to complete a portion of a sponsored program, because the needed equipment or expertise is not available within the university. Funding for the subcontract is provided by, and must be approved by, the project sponsor.

**technical services contract:** An agreement for the university to provide unique technical services not readily available from other sources. These contracts may be arranged under specific circumstances.

It is contrary to university policy for a technical service contract to be made with a sponsor in the same research area in which a faculty member has a consulting agreement.

**visiting professor:** Faculty from other institutions working in teaching or research roles at BYU. Ordinarily, such individuals will work with a BYU principal investigator in seeking external support for their work but may be co-principal investigators or even principal investigator if approved.

## *APPENDIX 4: The Costs of Research*

Research at BYU is supported in several ways. Many faculty and students perform investigations at little or no specifically identified cost. That is, they use their offices, library, laboratory or studio and materials or computing services that are part of the general academic support in their departments. Still, others receive special university funds to conduct research. A final group seeks outside funding to support their work.

In any case, there are actual costs to doing research or other creative, scholarly work—be they the time of salaried employees and faculty or dollars expended to buy equipment and supplies. Some costs are more obvious than others. This discussion is focused upon the type of research supported by external sponsors.

When research support is sought from external sources the university requires careful accounting and full compensation for its human and material resources. These costs are categorized as DIRECT or INDIRECT. The following discussion is intended to provide a clear understanding of how we categorize research costs.

### *Direct Costs*

**Direct Costs** are those costs which can be identified specifically with a particular sponsored project, an instructional activity, or any other institutional activity; costs that can be directly assigned to such activities relatively easily with a high degree of accuracy. The university considers the following direct costs:

**Salaries and Wages:** The costs of scientific, technical and other labor necessary to accomplish the stated objectives. This can include faculty, technicians, secretaries, students and post-docs.

**Fringe Benefits:** The cost of benefits for full time and part time employees directly charged to the sponsored agreement for the direct labor as defined under salaries and wages. Student wages do not require fringe benefits at BYU.

**Communication Costs:** Those costs directly associated with and required for the sponsored agreement, including specific and documented long distance telephone calls, fax and the costs of dedicated telephone lines for computer hook-up with sponsor installations or other approved connections. Basic telephone support is part of the indirect cost pool.

**Computing Costs:** Costs incurred directly for specific results of the project effort. The services may be provided by the university central computer or by stand-alone systems with established service rates. Such computing costs do not include basic services (e.g., accounting) provided as part of the indirect support to sponsored programs.

**Travel:** Expenses incurred to present the results of research to the sponsor as interim or final reports, or, if approved by the sponsor, the presentation of papers at scientific meetings directly associated with the scope of work supported by the sponsor. There may also be some travel associated with the performance of the project work.

**Publication:** Costs incurred to produce the final technical report or the costs to publish the results of the project in scientific or other journals.

**Materials and Supplies:** Such costs must be identified as those expenses incurred for items such as technical supplies required for the work. General office supplies required for support to the department or expendable office equipment usually are included in the indirect cost pool and are recovered through the application of the indirect cost rate. They are not considered direct costs unless clearly justified and dedicated to the project.

**Equipment:** Costs of research equipment with a unit value of \$5,000 or more, not reasonably available elsewhere on campus and required to complete the scope of work. Approval of the sponsor for equipment purchases is usually required—either in the initial proposal or as a later change in terms.

**Subcontracts and Consulting Agreements:** Costs that are considered necessary when university expertise and resources are not available. However, federal and university policy and procedures must be satisfied. A consulting agreement generally involves a single independent contractor. More complex and larger matters are handled via subcontracts.

**Other Direct Costs:** Costs necessary for the completion of the scope of work as proposed and funded by the sponsor not identified by a separate cost element.

**In summary, direct costs are actual costs which are specifically assigned to the project involved. They must be clearly documented and defensible. They must be charged at the same rates to the federal sponsors as charged to others. These types of costs cannot be charged as both direct and indirect costs.**

## *Indirect Costs*

**Indirect costs are resources spent in support of more than one activity or program where this support cannot be tracked directly to any of the individual activities of the organization. Utility costs, general administrative expenses, depreciation of equipment and facilities are common categories of indirect costs.**

This definition suggests that there is a general cost of doing business involved when the university participates in sponsored research. Facilities, faculty, students, and supportive services are available because they are maintained by the university for other purposes. When we redirect these basic resources to general support of research and other sponsored programs without specific direct assignment to projects, we are incurring indirect costs.

Indirect costs usually are related to direct costs on some formula basis. The formula prorates the indirect costs to all eligible functions. These indirect costs can then be recovered in part through charges to project sponsors. Most sponsors accept these costs as an allowable charge to grants and contracts because they too incur such costs which must be reflected in their overall operating expenses.

Indirect cost rates for the university are negotiated with the Department of Health and Human Services (DHHS) which has been designated as the cognizant federal agency for this purpose. These negotiations are based on actual costs incurred by the university in a prior fiscal year or years.

The indirect cost rate is determined by dividing the identified indirect costs by the direct expenditures recorded during the same period. The off-campus rate reflects just the administrative portion of costs. There may be higher direct costs at off-campus locations because of the unavailability of certain support services and facilities at these locations.

If indirect costs grow more rapidly than direct costs, and if new or different items are included as indirect costs from year to year, the indirect cost rates may change. Our rates are periodically reviewed and adjusted by DHHS.

The elements that may be included as indirect costs are proscribed by the OMB Circular A-21 and include:

- Building and Equipment Depreciation
- Physical Facilities Operations and Maintenance Expenses
- General and Administrative Expenses
- Departmental Administration

- Sponsored Program Administration
- Library
- Student Services

Below are comments on some of these items:

**Departmental Administration:** This category includes faculty and staff salaries reported as indirect effort and costs associated with the functions of the academic deans as they relate to research and related activities. A distribution of the reported costs of departmental administration is made for each department and is then aggregated for the university as a whole.

**Physical Facilities Operations and Maintenance:** Operation and maintenance costs include such costs as utilities, communications, insurance, building repairs and maintenance, security, property rental, architectural, and engineering services, custodial services, and ground maintenance.

**General and Administrative Expenses:** General and Administrative Expenses reflect the central administration costs of the University. These costs include Human Resources, Financial Services, Asset Management, Payroll, and several other support offices.

**Sponsored Program Administration:** Sponsored Program Administration includes all activities specifically identified with the administration of sponsored projects. These would include costs incurred in ORCA and the Grants & Contracts Accounting Office. At BYU, these costs are only a small part of our total.

The Library, Building Depreciation and Equipment Depreciation make up the remaining cost elements in the rate.

#### *BYU's Indirect Cost Policies*

BYU's approach to indirect cost recovery is direct and fiscally conservative. We require the full collection of indirect costs as per our negotiated rate. Where agencies cannot or will not pay the full costs, only the central administration can provide an "exemption" of the indirect costs shortfall or agree to "waive" or "cost share" the indirect costs.

BYU rates are calculated on a Modified Total Direct Cost (MTDC) base. This means the total direct costs of budgets are subject to indirect costs, with some modifications. Capital equipment purchases are exempt, reimbursement paid to non-BYU conference participants are exempt, and only the first \$25,000 of subcontract and consultant costs are subject to indirect costs. The Summary Sheet form (Appendix 4) illustrates how these costs are calculated. Questions can be discussed on an individual basis with ORCA.

Budgets are all subject to the on-campus rate. An off-campus rate is available under certain criteria and its use must be negotiated by ORCA.

At BYU, funds collected as indirect costs become part of the total university budget. They are thus used to support those functions identified earlier by the budget allocation process.

## ***APPENDIX 5: SELECTED FORMS USED IN RESEARCH AND SPONSORED PROGRAMS***

The following forms are standard documents used in preparation, submission or management of sponsored programs. Full copies of all current forms may be obtained from the Office of Research and Creative Activities (ORCA) in room A-285 ASB; or online at <http://orca.byu.edu>.

### List of forms and description:

- Summary Sheet for Grants and Contracts (an internal BYU form that must accompany every proposal and award)
- Request for Research Salary Payment (faculty summer salary payment request form, and general research pay form for non-faculty)
- Approval for Professional Activities in Addition to Regular University Assignments (authorization for Supplemental Pay)
- Request for Supplemental Research Compensation (payment trigger form for Supplemental Pay)
- Permission to Fabricate Capital Equipment
- Research Compliance Applications:
  - Human Subjects Institutional Review Board Application - IRB (Research with Human Subjects Application)
  - Institutional Animal Care and Use Committee Application - IACUC (Research with Animals Application)
  - Institutional Bio-safety Committee - IBC (Research with Recombinant DNA or Bio-Hazard Application)
- Non-disclosure / Confidentiality forms:
  - These forms can be found on the ORCA website:  
[orca.byu.edu/resources](http://orca.byu.edu/resources)

## **Research Compliance Applications**

### **Human Subjects Institutional Review Board (IRB)**

Federal guidelines stipulate that the use of human subjects in research requires review by a Human Subjects Institutional Review Board (IRB). If your research involves the use of human subjects dealing with interviews, questionnaires, blood draws, observational research, oral histories, research on individual or group characteristics or behavior, data collection from personal records, collection of biological specimens or medical devices, it will require IRB review. Other uses of human subjects may require review from the BYU IRB. If you have any questions, feel free to call (801)422-2970 or our office at A-285 ASB.

### **Institutional Animal Care and Use Committee (IACUC)**

The use of laboratory animals in research projects at BYU requires prior approval from the Institutional Animal Care and Use Committee. The application for this approval can be obtained from the ORCA website or at the ORCA Office.

### **Institutional Biosafety Committee (IBC)**

The use of recombinant DNA, select agents, infectious diseases or biohazard research projects require the submission of a BYU Biosafety project proposal registration.

*All of these applications can be easily accessed from the Office of Research and Creative Activities website or in the office at A-285 ASB.*

## ***APPENDIX 6: PROPOSAL FORMATS***

Proposals for research or other sponsored activities will vary some in format, length allowed, or expected, and in other details. The agencies may specify such format detail or may leave it up to the applicants. Proposals to sponsors other than federal agencies may be even more variable. Despite this observation, there are certain elements that are common to most proposals. Below is a general format for federal or other agencies where peer review is expected and a separate outline more typical of private foundations.

### *Preliminary Proposals*

The “Pre-Proposal” is generally less formal, detailed and lengthy than a regular proposal, but must be no less clear as to the objectives and needs for the study.

A preliminary proposal should state the project objectives and rationale and should provide an outline of the methodology to be followed. Detailed qualifications of personnel usually are not included at this stage. Project duration and a rough cost estimate (total dollars only) usually are identified.

An initial contact with an agency should establish the name of the person to whom the preliminary proposal should be directed. A follow-up to determine the reaction to the preliminary proposal is often the most rewarding discussion you might have with the agency.

It is helpful to share any pre-proposals with ORCA so they are alerted to your intentions and will be able to work closely with you on subsequent full submissions.

### *Typical Proposal Format and Elements - General Observations*

Most agencies for hardcopy submissions, require submittal on standard 8 ½ × 11 bond paper. Many sponsors are moving to electronic submissions, but they may also require hard copy follow-up. If you are using photos, graphs, etc. which will not copy on the usual office machines, you must plan to provide enough copies to meet the review process needs. Usually you will be instructed in specific matters of submittal format. For federal sources of funding that use Grants.gov as the electronic submission package, forms and instructions are all located at the Grants.gov website. Contact ORCA for assistance with this process.

### *Cover Sheet*

This sheet will usually contain essential information such as title, investigator, institutional address, and the address of the sponsor with sufficient detail as to reach the proper office if the submittal letter is detached. There may be special agency or university format details for cover sheets. Usually the cover sheet will have starting dates, amounts requested and often endorsing/approving signatures of the University Administration.

### *Abstract*

A simple and concise statement of approximately 200 words should be provided, outline the objective(s) of the program, the problem(s) to be studied, and a description of the type of results sought. The abstract should be the last part of the proposal to be prepared and should be done with great care. It presents an opportunity to capture the reviewer's interest in the project. In cases where review panels are screening large numbers of proposals, the abstract may be the only part read, so it should be easily understood.

### *Contents*

A separate page listing the major sections of the proposal with their page numbers is useful, including brief proposals.

### *Introduction*

This statement expresses the objectives of the project and contains background information leading to the body of the proposal.

### *Description of the Project*

The proposal usually will be evaluated by a committee or panel which will look for unique qualities of the proposal and seek to determine whether the objectives are realistic. They may not be familiar with the technical jargon of various specialty areas, so it is worthwhile to define specialized terminology. The proposal should begin with a discussion of the idea. A resume of previous results obtained and a selected bibliography should be provided. The bibliography should show the most current and/or relevant literature for the proposed project. A statement of one's previous work shows a seriousness of intent, in that time and resources have already been invested and some results exist. The same standards of excellence should apply in writing the technical description as in writing a paper for publication.

### *Project Personnel*

Key professional personnel should be listed, starting with the principal investigator(s). After each name, the participant's title or rank should be indicated along with a brief descriptive statement of the participant's particular qualifications and proposed contribution(s) to the project. The fraction of time or effort that each participant will devote to the project may be indicated. A complete curriculum vitae and list of publications for each professional participant should be included as an appendix where possible. Graduate students and other personnel need not be listed by name but their involvement should be noted.

Statements in the proposal narrative regarding the time and effort devoted to the project by those involved are encouraged because in some review processes, the technical reviewers do not see the budgets. Care must be taken to ensure that salaried personnel involvement is stated as a percent of total effort of the individual and that these percentages are consistent with the percentages reflected in the budget.

### *Facilities Available*

A description should be provided of available space at the university, major items or pertinent equipment on hand, and technical support facilities accessible for use; such as computing equipment, machine shops, instructional media, and other resources needed in the course of the work. BYU does not have a "general" description as the element should be more specific, often describing a college.

### *Project Period*

The proposal should contain a statement as to how long it will take to complete the project. Often a schedule of activities or "milestones" is appropriate.

### *Current and Pending Support*

The proposal should summarize all current support being received by the principal investigator(s) and, where appropriate, that of other research personnel expected to participate in the project particularly where other federal sponsors are involved. This summary should include the titles and dates of current grants and contracts, the sources of funds, and annual budgets. A statement must also be included to indicate whether or not any proposals (including the proposal being submitted) are concurrently being considered by, or will be submitted to, other possible sponsors.

## *Proposals to Foundations*

Proposals to private foundations are usually made via a short (several pages maximum) letter. It is always wise to be as brief as possible in such proposals. It is very important to study the mission of the foundation so that this letter identifies a definite relationship between the proposal and the foundation's stated interests. Outlined below are the elements to be included in the initial contact letter.

- **Summary** — A short paragraph should provide an overview of the proposal.
- **State of the Problem** — One or two paragraphs should discuss the subject to be treated, using facts and figures, where possible, to justify and document the need and to indicate the immediacy of the problem.
- **Program** — An outline of the proposal objectives should indicate how the program will be implemented and evaluated and should describe the effect the project is expected to have on the problem to be treated.
- **Budget** — A budget statement for the proposal should indicate how much money is asked for, for what purpose, and over what time period.
- **Closing Remarks** — A closing paragraph should indicate your willingness to provide the foundation with a copy of the full proposal and meet with foundation personnel to discuss the proposal.
- **Authorizations/Approvals** — When seeking funds from individuals or private foundations, it is essential that the PI work through the appropriate channels to make sure that requests receive proper review. The Office of Research and Creative Activities will assist in such coordination.

## ***APPENDIX 7: SOURCES OF FUNDING***

The Office of Research and Creative Activities maintains electronic databases of funding opportunities described below. Many private funding sources are advertised in the Chronicle of Higher Education and the BYU Development Office and Library may also have source books for such foundations.

There is so much information available on sponsors that an entire industry has been spawned to help people sort through it. These secondary sources glean information from primary sources and produce newsletters, discipline-directed publications, and other materials.

### *Electronic Databases*

PIVOT: BYU carries a subscription from Community of Science named PIVOT. Access it via any BYU connected computer at <http://pivot.cos.com>. Contact your department, college or ORCA for sign-up instructions. PIVOT carries tens of thousands of funding opportunities from federal and private sources.

#### The Foundation Directory Online:

Available at <http://www.fconline.fdncenter.org>

This database carries information on approximately 25,000 foundations in the United States. Contact ORCA for the User Name and Password for this site.

Grants.gov: This is the portal website for all federal funding opportunities. The website URL is <http://www.grants.gov>. You can 'Find' funding opportunities as well as 'Apply' for them. Contact ORCA for more information.

*Some additional sources of information include the following Federal Agency websites:*

<http://www.usda.gov>

Department of Agriculture: Use Agencies to reach Research, Education and Economics; select area of interest for opportunities.

<http://www.defense.gov>

Department of Defense: Select the branch or area of interest.

<http://www.ed.gov>

Department of Education: Check out the Researcher's or Teacher's Guide to the Department of Education under FAQs and Guides.

<http://www.energy.gov>

Department of Energy: Use People, Places and Organizations, then DOE Headquarters or Program Offices to access specific areas within DOE; select Office of Energy Research to access basic energy research grant and contract information.

<http://www.epa.gov>

Environmental Protection Agency: Select Researchers and Scientists to tap grant, contract, fellowship and RFP information.

<http://www.nasa.gov>

National Aeronautics and Space Administration: Use Organization for a listing of offices—office provides information on research announcements and education programs.

<http://www.nea.gov>

National Endowment for the Arts: Go to the Guide to the NEA for the guide to programs and explanation of grants and fellowships offered.

<http://www.neh.gov>

National Endowment for the Humanities: Pick Applying for a Grant to get at funding areas, deadlines, and application forms.

<http://www.nih.gov>

National Institutes of Health: Select Grants and Contracts to lead to peer review, the *Guide for Grants and Contracts*, funding and other publications, the *NIH Guide for Grants and Contracts*, and more; check out Award Data for specific award data and funding trends, or Peer Review Issues for study section rosters.

<http://www.nsf.gov>

National Science Foundation

Private Foundations

<http://www.cof.org>

Council on Foundations: An Association of grantmaking foundations and associations; select The World of Foundations for links to foundations on the Web—foundations are listed alphabetically.

Online Publications/Reports

<https://www.cfda.gov>

Catalog of Federal Domestic Assistance: A government-wide compendium of Federal program, projects, services, and activities.

<http://www.gpoaccess.gov/cbdnet/>

Commerce Business Daily: Official listing of Government contracting opportunities—it lists notices of proposed government procurement actions, contract awards, sales of government property, and other procurement information.

<http://www.gpo.gov>

U.S. Government Printing Office: The publications office for Congress and the executive offices; go to Superintendent of Documents for access to 70 databases, including *Federal Register* and *Congressional Record*.