

POLICIES, PROCEDURES AND GUIDELINES FOR  
RESEARCH AND TRAINING

<u>Section</u>	<u>Chapter 1</u>	<u>Introduction</u>
5-01	§5-01.01 §5-01.02	The Role of Research in University The University Research Council
	<u>Chapter 2</u>	<u>University-Sponsored Research</u>
5-02	§5-02.01 §5-02.02 §5-02.03	Research Grants Grants-in-Aid Research Professorships
	<u>Chapter 3</u>	<u>Outside Funded Research and Training</u>
5-03	§5-03.01 §5-03.02 §5-03.03	Introduction General Administration Procedures for Project Directors
	<u>Chapter 4</u>	<u>Guidelines for Fiscal Aspects of Grants</u>
5-04	§5-04.01 §5-04.02 §5-04.03 §5-04.04 §5-04.05 §5-04.06	Faculty Compensation Supplementation for Grant/Contract Efforts Fringe Benefits Advanced Funding of Grant Programs Billing of Funding Agencies Travel Expenditures on Grant Budgets
	<u>Chapter 5</u>	<u>Grant and Contract Policy</u>
5-05	§5-05.01 §5-05.02 §5-05.03 §5-05.04	Financial Management of Projects Review and Approval of Budgets for Grant Projects Grant Management Policy and University Policy Guidelines, Procedures and Policies for Sponsored Grants/Contracts
	<u>Chapter 6</u>	<u>Policies and Procedures Concerning Non- Governmental Gifts and Grants</u>
5-06	§5-06.01 §5-06.02 §5-06.03	Solicitation of Gifts and Grants Acceptance of Gifts Administration of Projects by Gifts or Grants

CHAPTER ONE

INTRODUCTION

§5-01.01      The Role of Research in a University

§5-01.02      The University Research Council

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§5-01.01      The Role of Research in a University

The statement in §4-04.01, that the faculty has "the right and duty to participate freely in the lawful search for and communication of the truth," reflects Fordham University's firm commitment to this basic and indispensable function of a University. If teaching is not to deteriorate into rote repetition of outdated information, it must continue to be infused with newly acquired knowledge. Research leads to the creative expansion of the teacher's vision, trains the student in scholarly inquiry which is the key to self-education and fulfills the University's responsibility to extend the horizons of knowledge to the ultimate benefit of society.

§5-01.02      The University Research Council.

Recognizing its obligations to foster and assist faculty research and training activity, Fordham University has instituted the Research Council comprised of faculty members [see §4-06.06(c)(6)] who review the program of the University sponsored research grants and formulate policies for approval by the President. An Office of Research reports to the Associate Vice President for Academic Affairs-Research. This office is responsible for the management of sponsored research and training activities in the University [see §5-04.]

CHAPTER TWO

UNIVERSITY-SPONSORED RESEARCH

§5-02.01      Research Grants

§5-02.02      Grants-in-Aid

§5-02.03      Research Professorships

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In addition to its Faculty Fellowship Program [see §4-05.08(a)(1)], the University seeks to encourage faculty [as defined in §4-01.02] research activity as follows:

§5-02.01      Research Grants

Research grants to assist full-time faculty to develop competitive research projects with potential for publication or submission to external funding agencies are reviewed by a faculty committee of the Research Council. A major emphasis is on junior faculty working on their first research projects beyond the dissertation. The deadline for the submission of faculty research grant applications is January 15.

§5-02.02      Grants-in-Aid

Grants-in-aid in small amounts may be requested in writing directly from the Office of Research for incidental expenses connected with a research project, such as typing fees for manuscripts, photocopying source materials, travel to libraries, etc.

§5-02.03      Research Professorships

When outside funds are available, Research Professorships may be awarded in order to provide Fordham faculty with an opportunity to devote themselves more completely to a particular research project by freeing them from teaching responsibilities. In certain circumstances, arrangements may be made for Research Professors to also teach. Since such faculty appointments are made from the ranks of already appointed professors and associate professors, the recommendation for such appointments shall be made in writing by the Chairperson of the Department, or the Dean of the School where there are no Departments, to the Vice President for Academic Affairs. Approval of both shall be required to make this appointment. When awarded, such research faculty ranks replace the regular faculty rank held by the faculty members involved for the length of time of the appointment. Research Professors ordinarily shall be appointed for one year subject to renewal.

- (a)      Research Professor. In order to qualify for this rank, the candidate must be a Professor and have demonstrated distinguished achievement in research activity.

- (b) Research Associate Professor. In order to qualify for this rank, the candidate must be an Associate Professor and have demonstrated recognized achievement in research activity.
  
- (c) Appointment as Research Professor or Research Associate Professor. Tenured Professors and Associate Professors who believe that they fulfill the qualifications for Research Professor or Research Associate Professor as described above, may be nominated to the University Director of Research at any time during the academic year. The recommendation of the Research Council must be considered before such an appointment is made.

## CHAPTER THREE

### OUTSIDE FUNDED RESEARCH AND TRAINING

§5-03.01 Introduction

§5-03.02 General Administration

§5-03.03 Procedures for Project Directors

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§5-03.01 Introduction

Research and training programs sponsored by individuals or organizations outside the University may require the participation of the University as party to a contract or as administrator of granted funds. The University will agree to such participation, within the limitation of its physical and financial capacities, if the purpose of the programs coincides with the academic aims of the University. Inasmuch as the University scrupulously avoids any regular institutional judgment as to the choice or validity of subjects or methods of investigation, this determination will be made by referring to standards of normal academic procedure in each field of inquiry as described by the faculty. In doubtful cases, the Research Council will be consulted. The opportunity for the University and the faculty to respond to current urgent community problems is provided by participation in sponsored training programs and technical assistance and evaluation services, relevant to the educational objectives of the University.

§5-03.02 General Administration

University approval of sponsored grant programs is centered in the Office of Research. Under policies formulated by the Research Council and approved by the President of the University, responsibilities of the Director of Research include the following:

The review and approval on behalf of the University, of all proposals and budgets for sponsored research, demonstration and training prior to submission to the granting agency. This review and approval shall include project requirements for space and other items included in indirect costs. Proposals shall also be reviewed with respect to their compliance with the provisions of Chapter Four below including a specification as to how salaries are related to regular faculty responsibilities.

Post-award administration of sponsored grant programs is centered in the Office of the Controller. That Office is responsible for the following functions:

- (a) The review and verification of purchase orders under grants.
- (b) The review and verification of other requests for disbursement of grant funds.

- (c) The submission of final financial reports on grants.

The Office of the Financial Vice President and Treasurer has the responsibility as official custodian of grant funds, to establish and maintain grant accounts, set up grant payrolls, and disburse all payments when approved by the budget administrator of the funds and the Director of the Office of the Controller.

§5-03.03 Procedures for Project Directors

- (a) Preparing Proposals. Faculty members have primary responsibility for preparation of grant proposals. Complete proposals, including necessary endorsements by Department Chairperson, or Dean, should be forwarded to the Office of Research for University approval. Ten days before mailing deadlines must be allowed for this purpose. One copy for signature and one additional copy for the Office of Research's permanent file should be provided.

Grant proposals which involve courses offering academic credit must be approved by the Department and the Dean of the School in which credit is to be awarded.

- (b) Operating Project Budgets. When the grant award has been received, the Office of Research will transmit the Notice of Award with approved budget from the funding agency to the Controller's Office to set up the budget.

The Office of the Controller is responsible for supplying copies of project budgets and grant awards to the Financial Office, which will establish an account for each project. A monthly expenditure report is sent to the project directors to inform them of the status of the project budget.

- (c) Disbursements. Purchase orders and other requests for disbursement made by the project directors will be sent to the Office of the Controller for verification for payment by the Financial Office and the Purchasing Office.
- (d) Payrolls. Project directors will be responsible for determining stipend schedules and payrolls, based on the approved grant operating budget. The payroll office will pay salaries and stipends as authorized by project directors and the Office of the Controller. Project directors must prepare payroll card and W-4 Form (Withholding Form) for each person paid on the grant budget. These are sent to the Office of the Controller and forwarded to the Finance Office.
- (e) Financial Reports. The Grants Officer in the Office of the Controller prepares interim and final financial reports on sponsored projects.
- (f) Responsibilities of Project Directors. Preparation of interim and final technical reports on sponsored projects is the responsibility of the project director. Monitoring of monthly expenditure reports and checking of expenditure requests against report balances for sufficient funds is also a function of the project director. Any discrepancies should be reported to the Grants Accounts Officer.

CHAPTER FOUR

GUIDELINES FOR FISCAL ASPECTS OF GRANTS.

- §5-04.01 Faculty Compensation
- §5-04.02 Supplementation for Grant/Contract Efforts
- §5-04.03 Fringe Benefits
- §5-04.04 Advanced Funding of Grant Programs
- §5-04.05 Billing of Funding Agencies
- §5-04.06 Travel Expenditures on Grant Budgets

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§5-04.01 Faculty Compensation

Grant contract funds may be used to supply part of the base compensation of faculty in exchange for a reduction of the normal academic load (and concomitant reduction of the University's contribution to the faculty member's compensation). Determination of the amount of reduction and of the responsibilities from which the faculty member will be released is to be agreed to by the faculty member involved, the project director, Department Chairperson, and appropriate Dean.

§5-04.02 Supplementation for Grant/Contract Efforts

In direct parallel with opportunities for faculty income supplementation in off-campus activities such as consulting, professional practice, and part-time teaching which do not impair the performance of regular academic duties, the University does permit supplementation for grant/contract efforts within Fordham. Normally, such efforts may involve one day a week during the nine-month academic year. For any work beyond this of a continuing or regular nature, annual approval by the Vice President for Academic Affairs is required.

§5-04.03 Fringe Benefits

Staff employed on sponsored projects will be eligible for fringe benefits to the extent that the full costs of these benefits are covered either by the indirect cost allowance or a direct cost element of the grant budget. These benefits cannot exceed those normally provided by the University. Current cost tables on fringe benefits as developed by the University Personnel Office are on file in the Office of Research.

§5-04.04 Advanced Funding of Grant Programs.

No University funds will be disbursed unless the University has a signed contract, or at a minimum, a letter of intent from an authorized official of a granting agency. An approved budget must also be on file in the Office of Research. These agreements should clearly spell out the financial terms attending the projects in

question and there should be a revolving fund of at least 10% for the project in the University's Finance Office. In those instances where a revolving fund arrangement cannot be worked out, a schedule of payments from the agency to the University should be clearly established in advance of any disbursement of University funds. In those cases where the University is obliged to make advance payments, and otherwise provide the project its working capital, the University should receive specific reimbursement for this service as included in the indirect cost allotment.

§5-04.05 Billing of Funding Agencies.

Responsibility for billing granting agencies for obligations owed the University will rest initially with the University's Finance Office. The Financial Office, if necessary, may refer accounts to the Director of the Office of the Controller who will be responsible together with the project director, for requesting payment from the granting agency.

§5-04.06 Travel Expenditures on Grant Budgets.

- (a) Per diem will be allowed on living expenses (accommodations and meals) at the current established rate.
- (b) Direct cost of travel can be covered including air coach, rental cars, taxis, personal cars at the current University established rate, and parking fees, where permitted by the granting agency.
- (c) The current University established rate for per diem and personal car costs per mile shall be set annually by the administration, in consultation with the Faculty Salary and Benefits Committee and the Research Council.

CHAPTER FIVE

GRANT AND CONTRACT POLICY

- §5-05.01 Financial Management of Grant Projects
- §5-05.02 Review and Approval of Budgets for Grant Projects
- §5-05.03 Grant Management Policy and University Policy
- §5-05.04 Guidelines, Procedures and Policies for Sponsored Grants/Contracts.

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§5-05.01 Financial Management of Grant Projects

The Director of the Office of the Controller has primary responsibility for interpreting and administering policies and procedures in connection with financial management of grant projects.

§5-05.02 Review and Approval of Budgets for Grant Projects

Review and approval of the project budgets and verifications of all expenditures under these budgets are the responsibility of the Office of the Controller. The project director, however, is also responsible for checking the most recent expenditure report before submitting a request for payment, so that all expenditures conform and are within the limits of the budget.

§5-05.03 Grant Management Policy and University Policy.

The Vice President for Finance is responsible for administration of overall University financial management policies. In case of possible conflict between grant management policy and overall University policy, the Vice President for Finance and the Director of the Office of the Controller would cooperate to resolve any conflict. Any issues remaining unresolved will be referred to the Vice President for Academic Affairs. In no case, however, may grant funds be disbursed without the written approval of the project director.

§5-05.04 Guidelines, Procedures and Policies for Sponsored Grants/Contracts

The Research Council regularly reviews the guidelines, procedures, and policies for sponsored grants and contracts. When changes have been approved, according to procedures outlined in §5-03.03, they will be announced by the Office of Research. In addition, the Director of Research will draft a manual of procedures and policies for sponsored research grants/contract that is in conformity with the statutes and will present it for consideration by the Research Council.

CHAPTER SIX

POLICIES AND PROCEDURES CONCERNING  
NON-GOVERNMENTAL GIFTS AND GRANTS

- §5-06.01 Solicitation of Gifts and Grants
- §5-06.02 Acceptance of Gifts
- §5-06.03 Administration of Projects Supported by Gifts or Grants

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§5-06.01 Solicitation of Gifts and Grants

- (a) The University encourages faculty and administrators to seek support for projects from corporations, foundations and individuals where such may be appropriate sources of support for a project. A project in the academic area should be discussed first in the Office of Research. Where indicated the Office of Research may refer a prospective project director, Dean or Director to the Development Office for consultation on non-governmental sources for support for the project.
- (b) The University would like to support the efforts of faculty and administrators to utilize the existing contacts where possible in order to further their proposals. In order to coordinate the work of all at Fordham in this area and to avoid multiple solicitations of corporations, foundations and individuals where such may be inappropriate it is very important that prior to any approaches either in writing or in person that "project directors" consult with the Director of Development. The Director of Development and the Office of Research will consult with each other so that the coordination of solicitations from public and private sources is enhanced.
- (c) The Development Office is prepared to assist in the preparation of letters of inquiry and proposals to foundations, corporations or individuals seeking gifts and financial support for Fordham. The primary responsibility for the preparation and clearance of such letters, proposals, and proposal budgets, however, rest with the project director. All letters of inquiry and proposals to the private sector must have University approval before being sent out. This approval must be arranged through the Assistant Vice President for Academic Affairs in consultation with the project director's School or Department.
- (d) The Development Office maintains files on gift proposals including alumni, friends, foundations, corporations and prospective donors of bequests. These are updated and used regularly. Faculty and administrative personnel who wish to avail themselves of information about prospects are invited to make their wishes known to the Director of Development.

§5-06.02 Acceptance of Gifts.

- (a) Only the President is authorized to accept gifts to the University. For this reason, the solicitation and acceptance of gifts is restricted to specific projects and programs must be cleared with the Director of Development; it is not always practical and feasible for the University to accept such gifts. Potential donors should be informed that checks are to be made payable to Fordham University and sent to: The Office of the President, Fordham University.
- (b) The Development Office records all gifts received by Fordham, arranges for their deposit and operates as a clearinghouse for acknowledgment of gifts.

§5-06.03 Administration of Projects Supported by Gifts or Grants.

- (a) After an acknowledgment letter from the President is sent to a donor accepting a project grant, the Director of Development sends a copy of the letter of transmittal, a copy of the grant application and a copy of the President's letter to the Office of the Controller and to the Vice President with responsibility for the area in which the project is to be carried out. The procedure for administration of this grant is outlined in §5-03.02.
- (b) The project director has responsibility for preparing such reports on the project as may be required or desired by the donor. In any event, an annual report on a project should be submitted to Vice President of the area involved. Reports prepared for a donor should be submitted to the Vice President for transmittal to the President who will send the report to the donor with an appropriate letter of transmittal.
- (c) The Development Office maintains a file on the utilization of restricted gifts. For this reason, project directors should send copies of all program reports to the Director of Development.

Revised as of December 1997