

## E60: Sponsored Research

Approved By: Faculty Senate

Last Updated: **Draft 7/12/15**

Responsible Faculty Committee: Research Policy Committee

Office Responsible for Administration: Vice President for Research and HSC Vice Chancellor for Research

Revisions to the Policy Rationale, Policy Statement, and Applicability sections of this document must be approved by the full Faculty Senate.

### POLICY RATIONALE

It is the policy of the University of New Mexico ([UNM](#)) to encourage faculty members to participate in research sponsored by outside agencies when such research is consistent with the basic aims of UNM in regard to the education of students, the extension of knowledge, and the broadening of man's horizon in the sciences, engineering, arts, and humanities. ~~In order~~ To ensure the most effective ~~operation~~ administration of UNM's sponsored research, this policy document provides policies and procedures for the submission of proposals, approval of research contracts and grants, budgeting of facilities and administrative (F&A) expenditures, and reporting of actual F&A expenditures.

### POLICY STATEMENT

1. The Vice President for Research (VPR) has been designated by the President as UNM's reviewing, certifying, and negotiation coordinating officer for all main-campus and branch-campus research proposals submitted to outside agencies, ~~except for those emanating from units under the administrative authority of the Director of the Medical center.~~ The Senior Executive Officer for Finance & Administration (SEOFA), Health Sciences Center (HSC) has been designated by the President as UNM's reviewing, certifying, and negotiation coordinating officer for all HSC research proposals submitted to outside agencies. The VPR and SEOFA HSC have also been designated the approval authority for any modifications to awards, in response to research proposals.

Final authority for accepting and signing research contracts and grants is vested in the President of UNM, and has been delegated as indicated in UAP Policy 2010, "Contracts Signature Authority and Review," University Administrative Policies and Procedures Manual.

2. On an annual basis the Vice President for Research shall consult with the Research Council of the UNM Faculty Senate, and other interested parties to discuss research priorities of, and adjustments to the F&A distribution algorithm for main-campus and branch-campus sponsored

research. These discussions shall reflect input articulated to the Faculty Senate by its various committees and individual faculty members involved in sponsored research.

Similarly, on an annual basis, the Vice Chancellor for Research ( VCR) shall consult with the HSC Council of the Faculty Senate and other HSC research committees concerning research priorities of, and adjustments to, the F&A distribution for HSC-sponsored research.

~~3. A person whose salary is paid in full by UNM may not engage in sponsored research for extra remuneration during the regular academic year. In rare instances and when deemed by the administration to be in the best interests of UNM and the individual involved, exceptions to this rule may be made. Such exceptions require written approval of the chairperson, the dean, and the Executive Vice President for Academic Affairs/Provost for main campus and branch campus sponsored research, and the HSC Chancellor for HSC sponsored research.~~

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## APPLICABILITY

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All academic and research UNM units, including the Health Sciences Center and Branch Campuses.

Revisions to the remaining sections of this document may be amended with the approval of the Faculty Senate Research Policy Committee, Policy Committee, and Operations Committee.

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## DEFINITIONS

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**Facilities and Administrative (F&A) Expenditures.** F&A expenditures reflect costs associated with providing and maintaining the infrastructure that supports the research enterprise (buildings and their maintenance, libraries, etc.) and which cannot easily be identified with a specific project. F&A expenditures are calculated using rates determined in conjunction with auditors from the applicable federal agency. The rate is calculated and charged as a percentage of modified total direct costs (MTDC).

**Sponsored Research:** Sponsored research shall be construed to include sponsored research, service, and training projects, and other categories of awards for all except basic capital construction and maintenance projects.

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## WHO SHOULD READ THIS POLICY

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- Faculty and staff conducting sponsored research
- Members of the Faculty Senate and the Research Policy Committee
- Academic deans or other executives, department chairs, directors, and managers
- Administrative staff responsible for sponsored research management.

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## RELATED DOCUMENTS

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*UNM Regents' Policy Manual, [Policy 5.9](#) "Sponsored Research"*  
*Faculty Handbook, [Policy E70](#) "Intellectual Property"*

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## CONTACTS

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Direct any questions about this policy to Office of the Vice President for Research or the HSC Office of the Vice Chancellor for Research.

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## PROCEDURES

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1. Faculty shall follow procedures for proposal preparation and submission as outlined, from time to time, in the procedures promulgated by the Office of the VPR, for main-campus and branch-campus sponsored research, and the VCR-HSC for HSC sponsored research.

1a. Faculty Research Support Services (FRSS) ~~Office of Research Administration~~, under the direction of the VPR, provides assistance to non-HSC faculty and staff by:

- Finding funding sources matching research interests and project development.
- Developing and preparing proposals (including budget).
- Navigating UNM's proposal process.
- Planning, coordinating, and supporting large and complex proposal efforts requiring numerous partnerships and multidisciplinary collaborations.
- ~~maintaining a grantsmanship library with information on federal and state agencies and private foundations, helping locate sources of potential funding, advising on general proposal format and University administrative procedures, and by reviewing the work plan, commitments and budget.~~

~~The Office of Research Administration~~ FRSS also acts as liaison between the sponsor agency and the faculty when requested to do so.

1b. The Office of the VCR- HSC provides services similar to those described in 1a above to HSC faculty and staff.

2. The office of the VPR ~~also has been designated the prior approval authority for the University. In this capacity, the office will coordinate closely with the principal investigators and appropriate members of the Contract and Grant Accounting Office. The office will ensure that~~ will coordinate closely with the main-campus and branch-campus principal investigators and appropriate members of the Contract and Grant Accounting Office to ensure that the prior approval function, of modifying grant and contract budgets in force, is in accordance with the regulations of the sponsoring agencies or foundations. Similarly the office of the VCR-HSC will coordinate closely with the principal investigators and appropriate members of the HSC sponsored research management teams to ensure that the prior approval function, of modifying grant and contracts budgets in force, is in accordance with the regulations of the sponsoring agencies or foundations. 4. Any modifications to an award, received in response to a research proposal, also will be processed in accordance with the foregoing procedure.

9. The item for indirect costs included in research agreements shall always be credited to the general fund of the University to be allocated for the continuing support of research at the University. 3. In consultation with the Provost, the OVPR, and the Faculty Senate Research Council, a formula (or algorithm) for the distribution of the main campus and branch campus F&A funds to units and centers, shall be developed by the OVPR and posted on the OVPR's website on an annual basis for main-campus sponsored research. The annual budget shall also be posted on the OVPR's website

Similarly, in consultation with the OVCR-HSC and the Faculty Senate HSC Council, a formula (or algorithm) for the distribution of the HSC F&A funds to units, centers, and institutes, and shall be developed by the OVCR, approved by the Chancellor, and posted on the OVCR's website on an annual basis for HSC sponsored research. The annual budget shall also be posted on the OVCR's website.

4. Actual F&A distributions for main campus sponsored research, for each fiscal year shall be documented and posted on OVPR's website no later than three months after the end of the fiscal year. Similarly, actual F&A distributions website no later than three months after the end of the fiscal year.

5. During the regular academic year when the contract or grant calls for released time from regular UNM duties, the basic nine-month salary from the instructional budget will be reduced proportionally. The released time will be compensated from contract or grant funds at the basic salary rate.

~~11. This policy, in whole or in any part, is subject to review and change at any time. See also Research Support and Graduate, Research, and Teaching Assistantships; Research Associates.~~

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NOTE: The following detailed procedures shown in the current form of Policy E60 are being deleted with the policy instructing faculty to follow procedures promulgated by the Office of the VPR, for main-campus and branch-campus sponsored research, and the VCR-HSC for HSC sponsored research

~~a. The proposal in draft form is to be submitted to the Vice President for Research by the principal investigator, accompanied by a Proposal Data Sheet (forms are available in the Office of Research Administration) approved by the department chairperson or unit director and dean, and indicating:~~

~~(1) that complete coordination has been effected to ensure that any other University unit or units affected by or interested in the proposal are formally advised of the proposal and that formal acknowledgment or concurrence has been received from the affected units;~~

~~(2) that full consideration has been given to both the physical and financial aspects of space requirements;~~

~~(3) that full costs of computer support required by the proposed effort have been included in the proposal budget;~~

~~(4) the anticipated duration of the project, with any possible extensions or ramifications;~~

~~(5) that the use of University funds, when included in the proposal, has been approved at all appropriate levels (as indicated in the Proposal Data Sheet), whether such funding relates to a division or sharing of salaries, the purchase of equipment, or other expenditures requiring University funds;~~

(6) the proposed total budget.

b. ~~The proposal will be reviewed for proper form, for budget correctness, and to see that pertinent regulations of the University and the prospective sponsoring agency are met.~~

e. ~~When the proposal is in final form, with the Proposal Data Sheet signed by the principal investigator and the chairperson or unit director, the Vice President for Research will administratively certify the proposal, on behalf of the University, by signing the cover sheet and will return the proposal to the initiator for official submittal to the prospective sponsoring agency.~~

d. ~~Any proposal negotiations between the University and a prospective funding agency will be closely coordinated with the initiator or principal investigator by the Vice President for Research.~~

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## HISTORY

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### Effective:

Need to identify effective date of original policy.

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## DRAFT HISTORY

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*October 11, 2014—Draft revised to add reference to E90 “Intellectual Property”*

August 18, 2014—Draft revised to incorporate HSC changes from Mike Schwantes.

August 6, 2014 – Draft revised to incorporate HSC changes J. Trotter presented at 6/4/14 FSPC meeting and changes proposed by Barbara West, Office of the VPR.

April 10, 2014—Draft revised with FSRPC Chair’s approval

March 13, 2014—Draft reformatted to new format for review by HSC Council and Center and Institute Directors.

March 5, 2014—Chair of FSRPC presented draft to Faculty Senate Policy Committee (FSPC) for review.

September 25, 2013--Draft developed by the Faculty Senate Research Policy Committee (FSRPC).

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