RESEARCH ENHANCEMENT PROGRAM

Internal grant program for tenure-track faculty

FY 25 Award Guidelines

Contact the Office of Research and Graduate Studies with any questions
grants@sfasu.edu

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Award General Guidelines

Congratulations on receiving an internal grant from the Research Enhancement Program!

This award guide will address your responsibilities in managing the project including spending grant funds and relevant university procedures. Once your Banner FOP has been established, an award email containing specific instructions based on your individual award will be emailed to you and appropriate departmental staff.

<u>Research Enhancement Program Background</u>

Stephen F. Austin State University offers the Research Enhancement Program (REP) to encourage and enhance the research and creative opportunities for tenure-track faculty members, support innovative research, and serve as seed monies to increase competitiveness in the acquisition of external funds or otherwise contribute to a creative repertoire.

The purpose and guidelines for the management of REP funds are outlined in SFA HOP 02-414. The Office of Research and Graduate Studies manages the REP funds while the University Research Council determines the guidelines and makes awarding decisions for the competitive programs.

Grant categories: Research/Creative Activity; Research Grant Development and Research Pilot Studies; and Minigrants.

Eligibility: Individuals with a full-time academic appointment as professor, associate professor, assistant professor, instructor, and librarian I-IV are eligible to apply. Non-tenure track faculty are not eligible.

Except under extenuating circumstances, individuals are not eligible to receive a minigrant during the same semester(s) that they are on faculty development leave or sabbatical. Individuals cannot receive funding for a Faculty Research and Creative Grant and a minigrant at the same time.

Fiscal year: Sep 1 – Aug 31

Funding Priorities
Special consideration will be given to applications in the following categories. However, priority consideration will not overshadow the need for sound and innovative research or creative endeavor.
- Support for junior faculty and others beginning new research programs;
- Applications which are directly related to the acquisition of external funding for research;
- Activities which will enhance the research capabilities of the faculty member, the department, or the university.

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Award Categories

Visit the ORGS website for further details and requirements.

A. **Minigrants – revolving deadline**
   a. **Project Support**
      i. Provide up to $1,500 for a specific research project, exhibit or creative activity (such as publish a musical composition or produce a CD).
      ii. Applicants are limited to <mark>one</mark> PS minigrant per fiscal year. Unallowable costs include travel.
   b. **Publication Support**
      i. Provide up to $750 per article to assist faculty with publication expenses related to research. Successful PUB grants must be tied to a specific, accepted peer-reviewed (referred) journal.
      ii. Require a 50% match from the college, department, or applicant.
      iii. Unallowable costs include submission and review fees.
      iv. Applicants are limited to <mark>one</mark> PUB minigrant per fiscal year.
   c. **Travel Support**
      i. Provide up to $1,000 per trip for no more than 2 domestic trips per year or up to $2,000 for one international trip per year
      ii. Three subcategories:
         1. Travel to present/perform
         2. Travel to collect research data
         3. Travel to participate in collaborative writing or to meet with a grant program officer
B. **Competitive Programs – awardees are limited to <mark>one</mark> award per fiscal year**
   a. **Research Grant Development (RGD) – fall and spring deadlines**
      i. Provide a $5,000 summer stipend or pay for the actual cost of the faculty replacement during fall or spring term
      ii. Assist faculty in developing a specific grant application
   b. **Research Pilot Studies (RPS) – fall and spring deadlines**
      i. Provide up to $3,000 to assist in initiating pilot projects to generate data for a specific project for external funding and an additional $1,000 faculty support
      ii. Must be tied to a specific research objective
   c. **Research/Creative Activity Grant (RCA) – fall deadline**
      i. Provide up to $10,000 in support for larger faculty research and creative projects and provide a 6-week summer salary for faculty.

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<u>Faculty Responsibilities</u>

- **Adhere to compliance requirements** such as international travel, human or animal subjects in research, responsible conduct of research, financial conflict of interest, biosafety, etc.

  Failure to follow SFASU required compliance policies and procedures will result in the faculty member not being eligible to receive any funding from the Research Enhancement Program for the remining fiscal year and the following fiscal year.

    o If compliance approval has not been obtained by the time your work begins, the research data gathered from any human subjects (including but not limited to surveys) or vertebrate animals cannot be used for external research publication or external research presentation purposes.

    o If all required documents and approvals for international travel have not been obtained prior to travel, you will not be able to travel.

- Relevant SFASU HOPs and procedures

    o Travel
        - *HOP 05-106, Travel*
        - *SFASU Travel website including the International Travel section*
    o Animal Care and Use
        - *HOP 02-410, Institutional Animal Care and Use Committee (IACUC)*
        - *HOP 05-401 Animals on campus*
    o Human subjects research
        - *HOP 02-408, Human Research Subjects Protection*
        - *HOP 02-412, Payments to Human Research Subjects*
    o Biohazards, chemicals, recombinant DNA, toxins, etc.
        - *HOP 02-413, Recombinant DNA and/or Infectious Biohazards in Teaching and Research*

- **Confirm that** all expenditures have posted to your respective Banner FOP no later than 30 days after project ends and no later than August 31.

- **Reporting**: Submit any required reports 30 days after your project ends. If applicable, this requirement will be included in the award email.

- **Work with the person in your department** who has the purchasing authority to enter requisitions, submit EPAFs for student employees and faculty, manages the PCard, initiates payment requests for POs and contracts, etc.

    o Be familiar with your department's procedures and deadlines for making purchases as they may be different from SFA's overall processes.

    o If your department procedures are stricter than SFA's general policies, you must adhere to your department requirements.

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Department Responsibilities

- Administrative staff will be copied on the award emails so they are aware of active internal grant projects.
- Administrative staff are responsible for entering student EPAFs and making purchases just like with all university funds.
- Administrative staff are responsible for entering faculty/adjunct EPAFs when a faculty receives a Research Grant Development award providing release time.
- Include internal proposal number (indicated on the ORGS award email) with all EPAFs, requisitions, and P-Card purchases.
- Send a copy of all IDTs to grants@sfasu.edu.

ORGS Responsibilities

- Setup of award in Banner.
- Sends award email to faculty and respective department staff with details pertaining to each specific grant.
- Submits summer faculty EPAFs for RCA awards
- Monitors expenditures and notifies faculty and department of any issues.

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Award Overview and Expenditure Guidelines

(How to Spend Your Award)

- All expenditures must follow SFASU and departmental procedures. Confer with your department administrative staff prior to all purchases.

- A unique Banner account will be assigned to your award and is used for **all** project expenditures (nicknamed 'FOP' for fund-organization-program).

    o The fund for all REP funds is 150030.

    o *The organization code is unique to the team lead.*

    o The program code for all REP funds is 150.

- Requisitions must be approved prior to purchase.

- Your department administrative staff will be copied on the award email and will have access to viewing the account in Banner in addition to entering requisitions, EPAFs, etc.

- **Purchasing Deadlines:** Refer to Procurement Purchasing Deadlines as these may differ from below. The earlier deadline applies.

    o **Supplies may be ordered through July 1**

    o **Salary may be paid through August 31**

    o **No purchases should be made after July 31 unless you have received ORGS approval**

        ▪ **Any expenditures that post to the fund after September 1 are the responsibility of the team lead and their respective departments**

- No extensions will be granted.

- Contact ORGS as soon as possible if there is an issue meeting these deadlines and we will advise you of your options.

- Your Banner FOP will be closed on August 31. No new expenditures can be made after this date.

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Budget Revisions: Submit any budget revision requests *prior to the expenditure* via email to grants@sfasu.edu. No budget changes are allowed unless they have been *pre-approved in writing* by ORGS.

Faculty must work with their department personnel to find an appropriate source of funds for any expenditures not in the approved budget or if the project is overspent.

Advertising, Marketing and other Communication

Review applicable policies under the Marketing Communication section of the SFASU's Handbook of Operating Procedures (HOP) especially these two policies:

University Website
Social Media

All official Stephen F. Austin State University accounts on social media platforms must publish and consistently enforce the Terms of Use and Deletion policy as specified in Social Media Policy 05-704.

All social media accounts affiliated with the university must adhere to guidelines available in the Identity Standards manual, developed by University Marketing Communications and available on the UMC website.

All university websites shall use the university's Identity Standards that are posted on University Marketing Communications' website.

Computers, hardware, software, and purchasing of electronic information resources

Examples of hardware include but are not limited to: computers, tablets, smart phones, telephones, scanners, copy machines, servers, telecommunications products, information kiosks, transaction machines and fax machines.

Purchasing computers, software, and other electronic information resources require ample lead time as there are multiple SFA departments and procedures involved. Please review Electronic Accessibility | SFASU.

All software and electronic information resource purchases must be vetted through the Project Management Office (PMO). Your departmental staff can assist. Visit Procuring Software | Purchasing | Electronic Accessibility | SFASU.

Computers purchases through President Innovation funds are not included in SFA's computer replacement program. Therefore, the computer will not be replaced once it has outlived its usefulness or with any university replacement program. Contact your department staff or Procurement to learn how to properly dispose of any damaged, broken, or no longer needed computers.

Compliance: Your award is subject to all university policies on human subjects, animal care and use, biosafety, environmental safety, export control, and international travel. *Any required approvals must be received before project work can begin*. Contact Rebekah Raney in ORGS with any questions.

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Contracts

To pay a non-SFA entity or individual, a contract must be executed *before the work begins.* If your budget includes consultants, visiting artists, or faculty/staff from other institutions, a contract is the mechanism SFA uses to pay for these services.

Contact [Jennifer Hanlon Patterson](#) in ORGS a month prior to the work start date. Contract steps are as follows:

1. Email Jennifer the following information:

   a. Contractor name and email address.

   b. Start and end date of contract. End date no later than August 1.

   c. Description of work to be performed, list of deliverables, timelines, etc. Be as detailed as needed to ensure you receive the work you expect.

   d. Items SFASU will provide to the contractor, such as data, performance location, etc. All other materials are provided by the contractor.

   e. When payment should occur – this may be based on individual deliverables or upon contract conclusion.

   f. Your Banner FOP, project title, and internal proposal number.

2. Contractor must be registered in Payment Works (Department or Jennifer sends a link to the Contractor).

3. Jennifer will send the team lead or requester the draft contract to review. If you request, I will copy the contractor for review.

4. Once you approve the draft contract AND the contractor has registered in Payment Works, ORGS routes the contract to legal counsel for review in iContracts. After review is complete, ORGS obtains both university and contractor signature.

5. ORGS processes the fully executed contract, sends a copy to you and your departmental staff, and uploads contract into iContracts.

6. Your departmental staff enters the requisition in Banner.

7. You inform your departmental staff when the contractor has completed the work and can be paid. If invoices were included in the contract, those documents will need to be given to your departmental staff who will initiate the payment process.

8. You should receive an email from Purchasing requesting your approval to pay the invoice/contract amount. Without your approval, the contractor will not be paid.

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Equipment Purchase
Refer to the SFASU Property Manual found on the Procurement & Business Services website.

All equipment and other tagged items are subject to the Annual Property Inventory and spot-checks to ensure items are properly accounted for.

Equipment, non-capitalized controlled equipment, and supplies purchased with awarded funds remain the property of the university. If the employee leaves SFASU, the items remain with the respective department.

Capital equipment single item whose cost is $5,000 or more and has a useful life of one year or more.

Controlled equipment (state defined) purchase value of $500 to $4,999.99 and includes items such as drones, sound systems & other audio equipment, computers/servers/laptops tablets & other handheld devices, and portable cameras.

Controlled equipment (university defined) purchase value of $0 to $499.99 and includes items such as drones, tablets & other handheld devices, printers, and computers/servers/laptops.

Food Purchases
Refer to SFASU Procurement and SFASU Travel websites and related policies/procedures.

Per diem and food costs are allowable when associated with approved overnight travel. Other food costs may be allowable for approved meetings related to the research and if approved in submitted budget.

No other food or beverages are allowed with internal grant funds.

Payments to Human Subjects
Gift cards can be used for participants in research and can be purchased with PCards; however, an exception form must be submitted and approved by Procurement prior to any purchase.

P-Card Purchases
Refer to SFASU Procurement website.

If your department allows, you may use your departmental P-Card for award purchases. Notify the person in your department who details the P-Card expenditures that the charges must be posted to your award FOP. You are responsible for ensuring such purchases are allowable and that the appropriate accounting procedures are followed.

Typical P-Card purchases: books, lab supplies, small equipment (non-capitalized or controlled), tools.

Project Presentations & Publications
Presentations or publications resulting from this award shall acknowledge that the project was conducted using *Stephen F. Austin State University Research and Creative Activity Grant Funds*. Submit copies of publications, DVDs, or other appropriate media that constitute documentation of published work or exhibition to ORGS and the designated institutional repository, the East Texas Research Center at Steen Library.

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Property – off campus use
Refer to the SFASU Procurement & Business Services website.

Contact your department staff. The SFASU 'Removal of Property from Campus Request' must be completed prior to removing the item.

Reimbursements to other Departments
Summer camps: you can use IDTs to reimburse the Student Center and/or Residence Life for housing and meals and associated costs.

For reimbursements to other departments not related to summer camps, please contact ORGS.

Reimbursements to self
If your department does not reimburse personal funds for other purchases, that same rule applies to this award.

In the rare event that you need to use personal funds to purchase items budgeted for your project, you must have documentation and/or receipts of these expenses. This documentation should be provided to the person in your department who has purchasing authority, so this employee can enter a requisition for your reimbursement. Note: ***Sales tax and gratuities cannot be reimbursed.***

Retention and disposition
Upon conclusion of your project, retain all data, materials, and other items pertaining to the project for three years according to SFA Records Management Policy and Retention Schedule, Agency (#SFA 4.7.8).

Computers, equipment, software, and all items purchased with award funds remain the property of SFASU. You may continue to use these items for other projects and instruction needs as long as you are employed by SFA. After you leave the university, your department retains all items for as long as they are useful.

Contact your department staff or Procurement to learn how to properly dispose of any damaged, broken, or no longer needed equipment/computers/etc.

Salary: RGD and RCA Faculty
Summer Semester: Contact [Jennifer Hanlon Patterson](#) who will submit the EPAF Origination form.

RGD fall/spring: Respective department will submit EPAF to pay for faculty replacement. ORGS must be **added** to the EPAF approval queue.

For questions concerning when the summer salary will be paid, contact Human Resources or Payroll.

Salary: students
Refer to Human Resources for required process.

New student employee: Either you or your departmental staff must contact Human Resources prior to hiring any students or other employees so that all required paperwork can be completed. Human

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Resources requires background checks and orientation sessions for GRAs and ASAP training for student assistants.

Current student employee: For current student employees in your department or college, contact your departmental staff who can enter an EPAF to update the student's assignment to include work on your project.

Your departmental staff submits an Electronic Personnel Action Form (EPAF) **before** the student/individual begins work. The EPAF must be initiated by your department. Please remind the staff person entering the EPAF to **add** ORGS to the EPAF approval queue.

Use the correct account code to designate GRAs – 670101

To end student employment, an EPAF must also be entered. Inform your departmental staff so that the student employment ends at the appropriate time.

Stipends

For SFA faculty and students, all 'stipends' are paid via EPAF.

For non-SFA faculty and students, all 'stipends' are paid via contract.

Travel

Refer to SFASU Procurement & Business Services Travel website

All SFASU travel procedures apply. Travel requisitions must be submitted and approved <u>in advance</u> of the trip per university policy and procedures. Failure to do so will result in the faculty member not being eligible to receive any funding from the Research Enhancement Program for the remining fiscal year and the following fiscal year.

You may use your T-Card for travel if your department has assigned one to you. If you do not have a T-Card, you will be reimbursed for allowable expense upon return.

With the Concur travel system, either your or your delegate enter the own travel request. Upon return, either you or your delegate can enter/upload required receipts. However, you as the traveler must then approve the expenditures before reimbursement will occur.

Any travel by non-SFASU employees/students can only be paid via contract. All non-SFASU employee/student travel is on a reimbursement basis only.

Any SFASU student traveling without a faculty member cannot receive a travel advance, and expenditures will be reimbursed after student returns. Consult with your department and the Travel Office.

If you are traveling but will not have any expenses, you still must enter a travel request for 0 dollars.

<u>Foreign travel</u> Refer to SFASU International Travel website. All travelers to foreign locations must take the CITI Export Control training prior to travel. Contact [Rebekah Raney] for more details.

<u>Travel to Washington D.C.</u> Prior to travel, you must follow SFASU and state requirements to obtain approval prior to travel. Refer to SFASU Travel website for details.

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Unallowable Costs

Activities that are never eligible for Research Enhancement Program support, regardless of worthiness, include:

- Faculty salaries or supplementation of faculty salaries, or professional or support staff salaries (faculty salaries are only include in the RCA, RGD, and RPS categories).

- Funds are not intended to replace departmental professional development travel funds.

- Materials for routine use in academic courses.

- Non-faculty requests (students or staff), or requests from adjunct faculty or visiting faculty.

- Personal computers and printers (upgrades or software will be considered if directly related to research activities).

- Professional development activities, including speaker fees.

- Program development or curriculum development activities.

- Salary for research assistantships.

- State-imposed limitations on the use of the funds (e.g., non-per diem food, door prizes, and gift certificates).

- Support or evaluate instruction, programs, or the development or evaluation of curriculum materials.

- Support for faculty dissertations or student theses and dissertations.