

## R532, Acceptance and Approval of Contracts and Grants<sup>1</sup>

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**R532-1. Purpose:** To provide for the acceptance of research and training grants by System institutions.

### R532-2. References

- 2.1. Utah Code §53B-7-103 (Federal Contracts and Aid - Individual Research Grants)
- 2.2. Utah Code §63-40-4 (Federal Assistance Management Program - Report to Legislature)

### R532-3. Definitions

- 3.1. **Institution Annual Report:** Includes summary totals by college or unit for the number and dollar amounts of all funded projects for the fiscal year July 1 through June 30.
- 3.2. **Institution Monthly Report:** Lists all proposals submitted by the institution during the month and also includes awards received during the month.
- 3.3. **Consent Calendar Report:** Submits for consent calendar consideration as part of the meetings of the State Board of Regents all proposals which exceed the relevant trigger amount established in paragraph 5.6.

### R532-4. Approval of Institutional Training Grant Proposals

4.1. **Factual Background:** Utah Code §63-40-4 provides that all training grant applications for federal assistance must be approved by the Governor prior to submission to the outside agencies, which approval by the Governor is to be based on any requirements for matching state funds. The volume of proposals is extremely high and individual proposals often require personal conferences with program leaders with full interpretations, while at the same time the requirements between notification and deadlines for receipt of applications may from time to time be only a few days. The time required for federal agency review of applications is six months or more.

4.2. **Applications to Governmental Agencies:** The applications for assistance submitted to governmental agencies by institutions of higher education are hereby given approval provided that said applications comply in every particular with the requirements therein stated:

4.2.1. It is understood that approval is final unless requested to be withdrawn in writing to the Board of Regents by the Office of the Governor prior to the date of the award of the project which has been applied for.

4.2.2. Each application shall be for training grant proposals that are clearly within the assigned role of the applicant institution (see R312).

4.2.3. There is no implication in the proposal that the State of Utah will assume increased financial responsibilities for the proposed program during and following its operation.

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<sup>1</sup> Approved June 30, 1969; amended October 27, 1970, October 19, 1971, September 15, 1995, and October 31, 2003.

4.2.4. That at the end of each month the applicant institutions will send a summary report of proposals covered under Paragraphs 4.2.2 and 4.2.3 supra to the State Board of Regents on the "Notification of Intent" form provided by the Utah Federal Assistance Management Program. The report shall give titles, program leaders, departments or divisions involved, summary of provisions, and a brief summary of work to be undertaken for each proposal.

4.2.5. The summary report will be reviewed by the State Board of Regents and transmitted to the Governor's Office, and upon request, to be supplemented with copies of the detailed application or proposal.

#### R532-5. Acceptance of Contract Grants and Criteria

5.1. **Research Contracts with No Overhead Reimbursement Costs:** All contracts for research that bear no overhead reimbursement cost are to be justified in writing and have recorded in the research administration office of the institution a finding that the project contributed to the education program and role assignment of the institution.

5.2. **Contracts and Grants for Less than Finalized Overhead Rate:** Contracts of grants for less than the finalized overhead rate should be justified on the basis of educational value and approved by a responsible officer of the institution or a committee designated by the president for such purpose. Acceptance of research contracts, training grants, or contracts for other sponsored programs shall be in conformity with this policy.

5.3. **Criteria for Educational Value:** Criteria are to be established and outlined by each institution for determining educational value of the proposed research or training grant. Some suggested areas of such criteria are: (1) How many students will be involved? (2) Are the students to be involved working toward a degree? (3) Is the contract funding a post-doctoral program? (4) How much faculty and other personnel released time will be required to accomplish the proposed project? (5) What would the formula be for such released time and compensation? (6) Of what educational value is the contract project to the institution as contrasted with the principal investigator? (7) Will existing assigned space be utilized? (8) Will new personnel be added producing pressures for more space? (9) Will the grant cover costs of all equipment and services required, including computer services, without obligating other institutional funds?

5.4. **Training Grants:** Training grants for less than fully funded costs shall be justified for educational value. Student credit hours produced on fully funded training grant programs will be reported separately from the student credit hours produced by education and general funds (State appropriation, student fees, etc.).

5.5. **State Board of Regents Standards for Waiver of Full Recovery:** Nothing in the institution's criteria for waiver of full recovery shall supersede the Board of Regents policy R535, Reimbursed Overhead, or their responsibilities as outlined in Section 53B-7-103(4), Utah Code Annotated (1953).

5.6. **Delegation of Authority:** The Board delegates to the presidents, with the approval of their respective Board of Trustees, power to enter into contracts for maintenance, research grants, and continuing programs of the institution involving amounts not over \$1,000,000 for the doctoral/research universities; \$750,000 at the master's colleges and universities; \$500,000 at the baccalaureate/associates colleges; and \$200,000 at the community and technical colleges.

5.7. **Annual Reports:** Each institution shall submit an annual report to the Board by September 30 summarizing the number and dollar amounts of awards received during the previous fiscal year beginning July 1 and ending June 30. The report shall include summary totals by college or unit of all awards received.

**5.8. Monthly Reports:** All grant applications and contract proposals submitted by member institutions of higher education are to be approved by the State Board of Regents to insure that the project described is clearly within the specified role of the institution. This will be done by each institution submitting to the State Board of Regents a monthly listing, within 60 days after the end of the month being reported, of all grants and proposals submitted during the preceding month, with a short description of each project. A similar listing of awards received during the same period will be submitted. If a project does not fall within the role assigned to the institution which submitted it, that application or proposal will be immediately withdrawn.

**5.9. Consent Calendar Reports:** For proposals with budgets greater than the trigger amount specified in 5.6, which require specific Board approval, the president of the institution will give a description of the project to the Board in a regular consent calendar report and request approval at that time. In those cases where applications or proposals cannot be approved by the Board before submittal for reasons which are deemed justifiable by the president, the president may sign them and authorize their submittal. The president will then report the action at the next Board meeting with a description of the project and a request for approval on that meeting's consent calendar. It is understood that a proposal can be withdrawn at any time before an award is made if the Board should not approve the project retroactively.

**5.10. Criteria for Reporting:** The following criteria are to be used in determining reportability. Only the annually funded amount of the award should be reported, not the amount of the entire award.

**5.10.1. Type of Award:** Contracts, grants, and cooperative agreements are reportable. Financial aid, appropriated funds, and gifts are not to be reported.

**5.10.2. Agency/Source of Award:** Awards made by federal, state, and local municipal governments; and by private partnerships, individuals, foundations, trusts, and corporations are all reportable.

If both 5.10.1, Type of Award, and 5.10.2, Agency/Source of Award, are reportable, a report must be submitted. If either or both is not reportable, the item should not be included in the report.

**5.10.3. Function and Purpose:** If there is a question as to whether the award must be included in a report, the function and purpose are to be considered. If this criterion is affirmative, the award shall be included in the report. Awards for research, training and public service (extension, clinical testing, clinics, or other projects for the benefit of the public) are reportable. Charitable activities, business sales, auxiliary enterprise activities, and scholarships/student financial aid need not be reported.

**5.10.4. Development:** Development activities are not reported to the Board of Regents.