

**Texas Tech University**  
**COLLEGE OF ENGINEERING**  
**Operating Policy and Procedures**  
[Approval: 12/5/2007]

**COE OP 40.10:      **Research Incentive Awards****

**Date:**            November, 2007

**Purpose:**        The purpose of this College of Engineering Operating Policy (COE OP 40.10) is to ensure understanding of the procedures for distribution and the appropriate use of research incentive awards to faculty and units in the College of Engineering.

**Review:**        This OP will be reviewed summers of every even-numbered year by the Dean's Office, with recommendations for revision presented to the departmental chairs by August 15. The OP may also be updated if the distribution formula for Research Incentive funds is modified by the Vice President for Research.

University OP's relating to research incentive awards:

- OP65.01 Facilities and Administrative Cost Recovery from Sponsored Programs
- OP65.08 Expenditures and Matching Commitments for Grants, Contracts and Other Sponsored Projects

State Rules relating to research Incentive awards:

- Texas Education Code, Chapter 145 Overhead and Cost Recovery

**POLICY/PROCEDURE**

The Texas Tech University College of Engineering provides research incentive funds to encourage further research by units and faculty. These funds are returned to the college from Facility and Administrative (F&A) costs (also called indirect costs) generated on grants, contracts and other sponsored projects.

**1. Distribution of Research Incentive Awards**

Research incentive funds are distributed to the College of Engineering from the Vice President for Research in the Fall of each year for research expenditures in the previous fiscal year (September 1 through August 31). The funds distributed are proportional to the F&A funds generated by researchers within the college. Distribution of these funds to faculty and units within the college will be done in strict adherence to the proportion of funds generated by the principal investigators as listed on the internal routing sheet required when proposals are prepared and submitted. Funds will be distributed by the college into a separate account for each investigator and/or unit. As a general rule, these accounts will carry forward from year to year.

The actual distribution of research incentive awards to units and/or principle investigators will be determined by the dean in consultation with research faculty, center directors, and department chairs. The current distribution is as follows:

F&A generated by a research grant not affiliated with Research Centers:

20% to the College of Engineering

60% to the Principal Investigators' Departments within the College of Engineering

20% to the Principal Investigators

F&A generated by a research grant affiliated with Research Centers:

20% to the College of Engineering

20% to the Principal Investigators' Departments within the College of Engineering

60% to the Research Center

In the event that a Principal Investigator is from a department outside of the College of Engineering, the investigator's department's share will be distributed to the research center.

## **2. Appropriate Use of Research Incentive Award Funds**

Research incentive funds are intended to support the research enterprise of the college and must be expended in a manner that can be clearly linked to this purpose. In evaluating whether an expenditure is appropriate, the following questions should be used as guidelines:

- Does the item or service being purchased support and/or enhance the research enterprise?
- Is the cost of the item or service reasonable?

The following general guidelines were provided by audit services to assist faculty and units in determining the appropriate use for research incentive funds:

- Furniture – is appropriate with the principle use of the furniture is research related and inappropriate otherwise.
- Aesthetic Items (such as rugs, window treatments, and art work) – are not appropriate.
- Food and Beverages – are not appropriate.
- Conference Registration and/or Travel – is appropriate if related to research and not appropriate otherwise. This can include international travel.
- Equipment and Supplies – is appropriate when the principle use is research related and inappropriate otherwise.
- Wages for Student and Research Assistants – appropriate if the principle job function of the individual is research related.
- Faculty Wages for Summer – appropriate if the time allocated is directed at research.
- Faculty Release Time during the Academic Year – appropriate if the faculty member is release from other duties to pursue research activities.

Questions regarding the appropriate use of research incentive funds can be directed to:

1. Dr. Kathleen Harris, Senior Associate Vice President for Research, Office of Research Services, 742-3884, Extension 228.
2. Ms. Katy Henderson, Manager of Financial and Administrative Services, Office of the Vice President for Research, 742-3905, Extension 254.