



POLICY ON CATALYST AWARD PROGRAM*

Policy Number: 1.0.5

Classification: Catalyst Program

Responsible University Office: VPR Business Affairs

Version Number: 001

Effective Date: August 15, 2017

1.0 Purpose

Clemson University encourages faculty to develop collaborations with key stakeholders who have an interest in supporting a line of research. Stakeholders frequently wish to provide start-up or maintenance support to advance a line of inquiry, but require no set deliverables nor consider the funding as philanthropic support. The purpose of this policy is to define the process for determining the appropriate treatment of funds received in this manner.

2.0 Applicability

This policy applies to all faculty and staff at Clemson University, eligible to serve as Principal Investigator, pursuant to the Assignment of Principal Investigator Policy.

3.0 Government Rules and Regulations

NA

4.0 Definitions

Catalyst Award – Funds received from a non-governmental entity or individual in amounts of \$20,000 or less with no terms and conditions attached to their use.

Gift – Funds provided with clear donative intent that are irrevocable and do not include any specific deliverables or project performance period.

Stakeholder – Non-governmental entity or individual who provides funding not to exceed \$20,000 annually to support a line of research, with no terms and conditions specified for their use.

Sponsored Project – Funds provided for the performance of a specific, identified scope of work, project performance period and deliverables. Funds are revocable.

*Formerly the Small Restricted Receipt Program

5.0 Policy

The Division of Research reserves the right to determine if private funds (\$20,000 or less, per transaction) received by an individual Principal Investigator designated to support an area of research should be categorized as a sponsored project or gift and managed accordingly, or if the funds meet the criteria for the Catalyst Award Program. When funds are received from a non-governmental entity or individual with no additional contractual documentation, the Principal Investigator must follow the instructions in the attached procedure. Funding from governmental sources will be reviewed for eligibility on a case-by-case basis to ensure that there are no flow-down terms and conditions from other jurisdictional entities.

The following restrictions apply:

- (a) The total value of each individual award may not exceed \$20,000. Incrementally funded awards from the same funding source must not exceed \$20,000 per fiscal year (July 1 – June 30).
- (b) Funding that requires an official University agreement, intellectual property rights, or specified deliverables or outcomes, including official reports from Principal Investigator or University, are not eligible for consideration as Catalyst Awards and will be directed to the Office of Sponsored Programs for processing.
- (c) Funding designated as “gifts” are not eligible as Catalyst Awards and will be directed to the Clemson University Foundation for processing.
- (d) Purchase Orders will not be processed as Catalyst Awards.
- (e) Funding must not be used to support a current sponsored project between the University and the Funder.
- (f) Spending must be consistent with state procurement regulations.

6.0 Responsibilities

Principal Investigator (PI) – Following the attached procedure, notify the Division of Research of receipt of check and accompanying documentation in a timely manner. If no documentation exists, PI must provide a brief statement specifying the purpose of funding. Prior to approval of a Catalyst Award, PI must receive all required approvals by the Office of Research Compliance, including human subjects, animal care and use, biosafety, chemical hazards, radiation safety, controlled substances, technology transfer, conflict of interest and patent disclosures.

Division of Research – Reviews documentation and approves or denies request to designate new or supplemental funding as a Catalyst Award, consistent with the attached procedures. Enters information into InfoEd.

College/Departmental Staff – At the direction of the PI, notifies Division of Research of receipt of check and accompanying documentation or PI statement. Requests new departmental account for deposit of new Catalyst Award funding if approved.

7.0 Sanctions for Non-Compliance

The Division of Research reserves the right to return funding in situations of non-compliance with this policy and/or the associated procedure.

8.0 Approval Signatures

This policy has been approved by:



Tanju Karanfil
Vice President for Research

REVISION HISTORY		
EFFECTIVE DATE	REVISION NUMBER	MODIFICATION