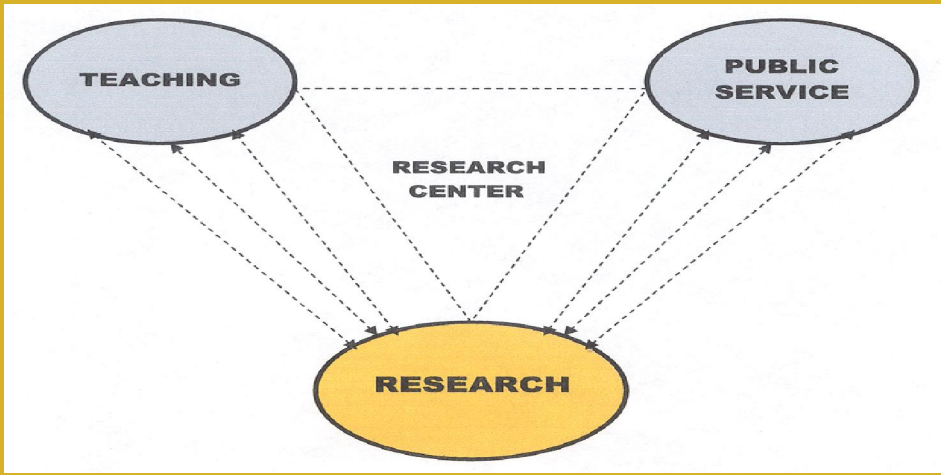
Office of Research and Sponsored Programs (ORSP)

Handbook



"Together for Educational Excellence"

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The Walker Center for Multi-Purpose Research and Sponsored Programs

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Introduction

To streamline the administration of grants and to provide quality service to the UAPB community, pre-award, post-award, and grant accounting services are combined in the Office of Research and Sponsored Programs (ORSP). ORSP is located in the Walker Center for Multi-Purpose Research and Sponsored Programs on the University campus. It is service-oriented and directed by the values of the University, while dedicated to assisting the faculty and staff in seeking and administering funds for research and sponsored programs.

ORSP facilitates research at UAPB by: identifying funding sources, assisting in finalizing proposals, reviewing budget accuracy, negotiating agreements, obtaining and interpreting guidelines, and promoting compliance of grant applications and contracts with sponsor and university policies and requirements. The office assures financial accountability for external funding and research support.

This Handbook was updated to provide the University community with more information that is helpful in processing, applying, and administering off-campus funding.

a. Clerical and data entry errors--Any request to correct a clerical error should be accompanied by an explanation of how the error occurred. The correcting entry must include a statement certifying that the adjusted charge/credit is correct and appropriate. Any explanation that merely states that the transfer is made "to correct error" or "to transfer to correct project" is not sufficient. Frequent errors in the recording of costs may indicate the need for improvements in the grantee's accounting system and/or internal controls.

b. Transfers between a continuation grant and a new project when the account number was established at the time the expense was incurred--It is possible that if a continuation grant account number is not established promptly, continuation grant charges that have been incurred on or after the start date of the continuation award may have been temporarily charged to the prior year's account. Over expenditures from a prior year are unallowable costs that can be transferred to the continuation award only with sponsor approval.

c. Pre-award costs that are specifically authorized in writing by the sponsor--A department or research unit may, at its own risk, incur obligations and expenditures to cover costs prior to the beginning date of an award if the following criteria are met: 1) costs incurred are considered necessary for the conduct of the project, 2) costs are allowable under the potential award, and 3) sponsor's written prior approval is obtained when required.

d. Pertinent information is received subsequent to the date of original entry.

e. It was impractical or impossible to allocate charges at the time of the original entry. f. An award fails to materialize and charges have been incurred on the grant/contract account.--Costs incurred subsequent to the anticipated effective date of the award will need to be transferred to other nonfederal funds. At times, principal investigators are notified verbally or by memo that an award is forthcoming. If, for any reason, the award is not received as anticipated, a request may be necessary to transfer any charges made to an emergency account to other nonfederal funds of the department.

For in kind contributions, the value of donations should be documented using the ORSP forms *Value of Donation by a Third Party, Value of Donated Labor, and Value of Equipment Donated by a Third Party* **(Appendix I),** unless other certifying documentation is available from a third party that made an in-kind contribution.

In order to make the process of documenting and reporting cost share as smooth as possible, ORSP strongly encourages principal investigators to discuss cost share arrangements for the future project during the stage of drafting a new proposal.

TECHNICAL/PROGRESS REPORTS

In compliance with the U.S. OMB Circular A-110, all federal agencies require grant recipients to report periodically on the progress of work being supported. Information on reporting requirements are included or referenced in award documents. Also, additional information is provided in agency publications such as: 1) the Education Department General Administrative Regulations (EDGAR), 2) the National Science Foundation (NSF) Grant Policy Manual, 3) the Public Health Service (PHS) Grants Policy Statement, and 4) the National Aeronautics and Space Administration (NASA) Grant and Cooperative Agreement Handbook.

Technical and progress reports are prepared and submitted to the sponsoring agencies by the principal investigators. After the end of the award period before ORSP will close out the award, the principal investigator is required to certify that he or she has submitted all final reports (other than financial) on the *Award Close out Checklist* **(Appendix D)**. The *Award Close out Checklist* is sent by ORSP to principal investigators approximately 30 days after the award end date.

PROJECT CHANGES

The ability of the project director to make budget adjustments, to alter planned activities, or to extend the project period is governed first by regulations of the funding agency, then, by the policies and procedures of the University. A copy of the regulations governing each award or a reference to the appropriate regulations usually accompanies the award documents. All principal investigators and program directors are required to read and adhere to the regulations governing

authorizing payment. After the decal is attached, the equipment is delivered to the ordering department for acceptance

Property Control Management is responsible for all equipment from the time it is received on campus, as it maintains a file on all decaled equipment.

There are instances where equipment is delivered directly to the buying department. There are also instances where the equipment is too large and heavy to be practically handled by warehouse personnel and must be installed by the vendor. In circumstances when equipment is handled on a case-by-case basis, cooperation with Property Control is required.

Equipment requiring assembly will be assembled by PC at the Hazzard Annex and subsequently delivered to the department. When the equipment is large or complex and requires professional assembly, craftsmen from the Physical Plant will assist with the assembling. The requesting department will be charged an appropriate assembling fee.

All furniture will be fully assembled in CR (if there is no statement on file specifying that that department does not desire assembling and tagged with a property tag (decaled) before it is delivered to the requesting department.

HIRING PROJECT PERSONNEL

In hiring project personnel, the employment category of the individual/(s) to be hired on externally-funded projects will determine the type of employment documents required for approval. For example, persons having some level of instructional responsibility will require the approval of the vice chancellor for academic affairs before final approval by the chancellor. A *Personnel Action Form* (PAF) is then processed by the hiring unit.

It is important to remember that, according to the federal regulations, only charges for work performed directly on sponsored agreements that can be easily identified with the project are permitted on sponsored accounts. If services of an employee are fully charged to a sponsored account, the department is required to show on the PAF that services of this employee are related to the grant. Please use the line "Reason for Action" for this purpose (for example, "To provide support to the project xxx".)

Office of Biotechnology Activities, National Institutes of Health, 6705 Rockledge Drive, Suite 750, MSC 7985, Bethesda, MD 20892-7985 (20817 for non-USPS mail), (301) 496-9838, (301) 496-9839 (fax); (**Section IV-B-2-b-7**);

- The IBC may not authorize initiation of experiments which are not explicitly covered by the NIH Guidelines until NIH (with the advice of the RAC when required) establishes the containment requirement (**Section IV-B-2-b-8**);

- Performing such other functions as may be delegated to the Institutional Biosafety Committee under Section IV-B-2, *Institutional Biosafety Committee* (**Section IV-B-2-b-9**). {See*: NIH Guidelines for Research Involving Recombinant DNA Molecules* on the Web for a complete explanation of this process.}

LABORATORY SAFETY

At the time of submission of the application for sponsored funding, investigators are required to indicate on the Internal Proposal Cover Sheet whether or not their projects require laboratory safety compliance.

Laboratory safety compliance means compliance with the U.S. Department of Labor Occupational Safety and Health Administration (OSHA) Laboratory Standard. Under this standard a laboratory is required to have a Chemical Hygiene Plan which addresses the specific hazards found in its location and its approach to them.

Laboratory supervisors have the responsibility for maintaining safe standard operating procedures and maintaining or recommending revisions of the procedures as necessary. Laboratory supervisors are defined as the faculty members who are responsible for the research laboratories and specific laboratory sections.

Each employee and student must be provided with information and training concerning the hazards of the chemicals present in his or her work area, as mandated by OSHA. The training must be provided at the time of initial assignment and prior to any new assignments involving different exposure situations. Providing and documenting this training is the responsibility of the laboratory supervisor. Documentation of the training must be kept in the laboratory and should include copies of the training materials and sign-in sheets for the training participants.

Student laboratory assistants should be provided training prior to their supervision of other students. This training must be provided and documented at the beginning of their employment by their laboratory supervisor.

Outside contractors or university workers from such areas as the Facilities Management must be informed of the hazards to which they must be exposed while working in the laboratory environment. The department that contracts the work has the responsibility for informing workers of the safety procedures and providing any associated training that will be site- and job-specific.

HAZARDOUS WASTE DISPOSAL

The department that needs to dispose of hazardous materials is required to contact the Assistant Director of Physical Plant to place a request for disposal. Each container must be labeled as to its actual contents. During the disposition of hazardous waste, or equipment that contains components or parts suspected of containing hazardous materials, the Physical Plant is responsible for ensuring that all federal, state, and local requirements are followed.

INVENTIONS, COPYRIGHTS, AND PATENTS

As a state-supported institution of higher learning, the University of Arkansas has a responsibility for and an interest in the advancement of knowledge and creative work that will enhance its educational mission and promote the economic and social welfare of the public it serves, particularly the people of the State of Arkansas. This responsibility and interest are advanced by engaging in research, the results of which may, on occasion, have commercial applications, which are patentable or copyrightable. While Inventions are not the primary objective of University Research, when they occur the University has the responsibility of ensuring that such Inventions are used and controlled in a manner that benefits the public, the inventor, and the University to the fullest extent possible. To achieve this purpose, the University adopts this policy to meet the following objectives:

1. Assist the faculty, students, and staff in matters related to inventions, patents, and copyrights and provide an environment that will encourage the disclosure and development of meaningful Inventions;
2. Obtain the proper benefits for inventors and for the University from commercial applications of University Research and apply funds accruing to the University from these applications to the support of research and other scholarly activities at the University; and

3. Determine the rights and interests of all parties in University Research according to established, uniform procedures.

It shall be the policy of the University to acquire and retain legal title to all Inventions created by any person or persons to whom this policy is applicable. It is established in furtherance of the commitment of the University to the widest possible distribution of the benefits of University Research, the protection of Inventions resulting from such research, and the development of Inventions for the public good. Inventors shall retain rights in Inventions, which the University has chosen not to claim under this policy or pledged to a third party as a result of a grant, contract, cooperative agreement, or other Sponsored Research agreement. Rights to Inventions and Works made under Sponsored Research are determined by the contractual or grant agreements between the University and the sponsor. (See Board Policy 210.1 for full explanation).

RELEASE TIME

Provisions are made for reduced teaching and/or workloads for those persons participating in funded projects. The reduction in workload is equivalent to the percentage of time spent on the project. Work created by teaching-load reduction is reallocated by either: 1) reassigning responsibilities where applicable, 2) hiring adjunct faculty, or 3) hiring full-time faculty. The University will honor its commitment to release those persons who will be involved in funded research efforts.

All release time during the academic year associated with externally funded projects that do not require cost share must be fully paid by the sponsoring agency. Proposal budgets for projects with no cost share must, therefore, reflect the full cost of release time (salary, fringe benefits, and indirect costs) to the funding agency.

Awarding release time to carry out activities associated with an externally funded project not paid by the funding agency is at the discretion of the department chairpersons. It is recommended that such release time would be awarded to faculty members only for projects that mandate cost share, and only if cost share obligations can not be met by unrecovered indirect costs. No additional resources will be available from the University to the departments to assist with release time not paid by the sponsoring agency.

Faculty members who have release time for the academic year may not defer that time in order to gain more release time in any one semester. For example, faculty may not combine two semesters of release time into one. Also, faculty investigators may not have more than 50% release time. Any exceptions to this policy will require the recommendation of the dean of the School and the approval of the vice chancellor for academic affairs.

In implementing this policy, it shall be the responsibility of the vice chancellor for academic affairs to inform the faculty-at-large. Informing all persons preparing proposals of the existence of the policy will be the responsibility of ORSP. And monitoring will be the responsibility of the grants officer, academic deans, director of research and sponsored programs, and the vice chancellor for academic affairs.

PROPOSAL SUBMISSIONS BY ADJUNCT UNIVERSITY PROFESSORS

A person holding less than a full-time position at the University, e.g. adjunct professors, must name an individual who holds a full-time faculty position as co-investigator, in order to receive University approval to submit a proposal. Both individuals will be required to sign proposals. However, it will be the responsibility of the regular UAPB employee to ensure that required technical reports are submitted, equipment is inventoried, and students are hired as stipulated in the approved proposal. The director of research will have the responsibility of ensuring that appropriate co-investigators are named in proposals submitted by adjunct faculty.

DRUG FREE WORKPLACE

The University of Arkansas at Pine Bluff requires a workplace (all facilities and vehicles owned, operated, or leased by UAPB for the purpose of conducting University business) to be free of drug abuse and promotes the prevention of abuse through educational programs. In order to achieve this, the University has established a Drug-Free Awareness Program. It has the responsibility of providing information such as: 1) the dangers of drug abuse in the workplace, 2) the University drug counseling, 3) rehabilitation, and 4) other assistance programs available to the employees.

A B B R E V I A T I O N S

The list includes abbreviations used in the Handbook and commonly used acronyms.

CFR	Code of Federal Regulations
DOD	Department of Defense
DOE	Department of Education
DHHS	Department of Health and Human Services
EDGAR	Education Department General Administrative Regulations
EPA	Environment Protection Agency
eRA	Electronic Research Administration
F&A	Facilities and Administrative (costs)
FAR	Federal Acquisition Regulation
HUD	Housing Urban and Development
IACUC	Institutional Animal Care and Use Committee
IDC	Indirect Costs
IRB	Institutional Review Board (research involving Human Subjects)
MOU	Memorandum of Understanding
NASA	National Aeronautics and Space Administration
NEH	National Endowment for Humanities
NIH	National Institutes of Health
NIST	National Institute of Standard Technology
NOAA	National Oceanic and Atmospheric Administration
NSF	National Science Foundation
OMB	Office of Management and Budget
ORSP	Office of Research and Sponsored Programs, UAPB
OSHA	Occupational Safety and Health Administration
PAF	Personnel Action Form, UAPB

PD	Program Director/ Project Director
PI	Principal Investigator
RFA	Request for Applications
RFP	Request for Proposals
USDA	United States Department of Agriculture

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