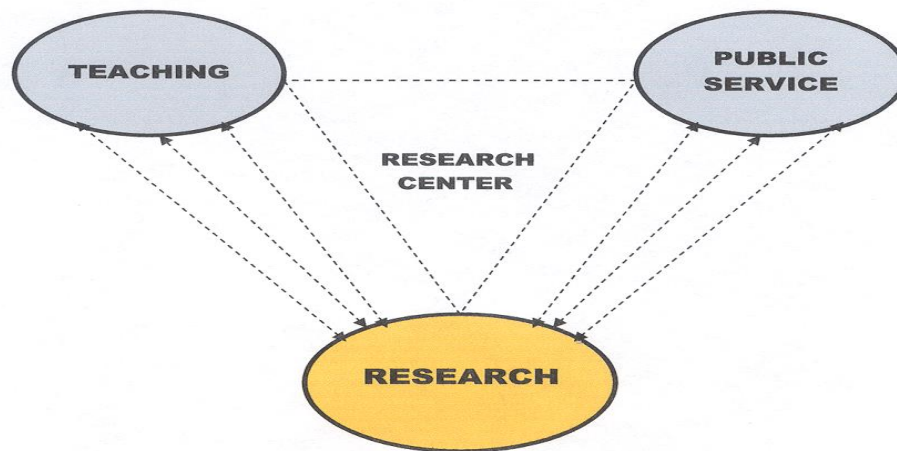


**Office of Research and Sponsored  
Programs (ORSP)**

# Handbook



*“Together  
for  
Educational Excellence”*



**University of Arkansas at Pine Bluff  
Mail Slot 4978  
1200 North University Drive  
Pine Bluff, Arkansas 71601**



*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.

## PRE-AWARD ADMINISTRATION

### **SEEKING THE AWARD**

All faculty/staff proposal developers and/or potential proposal developers are encouraged to register into the *Faculty/Staff Research and Research-Related Interests Database*, maintained by ORSP. You can register on-line at the ORSP web site: [Research & Sponsored Programs](#) (click on *Faculty/Staff Research Database Registration*). This database is a tool, which assists ORSP in becoming familiar with the basic research interests and needs of those faculty and staff members who are seeking, or interested in seeking, funds to assist the University in fulfilling its overall mission and vision. In addition, it enables ORSP to better serve the UAPB community by providing targeted grant opportunity alerts and information, including program development opportunities, program enhancement opportunities, and career development opportunities.

Sometimes program guidelines may seriously restrict the feasibility of the developer and the institution in reaching desired goals. Therefore, it is important for the overall success to be as clear as possible—in the earliest stages of project development—on the resources required to meet project objectives.

Much of what occurs during the early stages of applying for grant funds affects the University's ability to manage a grant after it is received. Discussion and cooperation between the investigators and ORSP is critical in developing programs and proposals that receive off-campus funding.

## PROPOSAL PREPARATION/DEVELOPMENT

Most funding agencies provide guidelines that describe the procedures to be followed in preparing an application for funding. These guidelines are published and made available upon request at no cost to interested persons, institutions, businesses, etc. Included in these guidelines are such things as:

- Deadline date for submission of the proposal
- Total funds available for awards
- Approximate number of awards to be made
- Range of award amounts
- Eligible applicants
- Program priorities
- Required/sector criteria
- Required proposal components
- Procedures for submitting the proposal
- Number of copies/delivery information

Below are basic steps to follow when developing a proposal:

1. Discuss the solicitation/announcement with immediate supervisor to determine feasibility and appropriateness with respect to the department's program plans.
2. Complete and submit an [Intent to Submit a Proposal Form](#) (**Appendix A**) to ORSP. When a call for proposals allows only one submission from the institution, the department that submitted an *Intent to Submit a Proposal Form* first will be authorized to proceed with the application. The *Intent to Submit a Proposal Form* is available on line at the ORSP web site [Research & Sponsored Programs](#).
3. Discuss, if appropriate, the proposal under development with a representative of the funding agency *prior* to its submission. Such contacts help investigators focus their ideas carefully on the requirements of the agency.
4. Develop the full proposal in keeping with the guidelines. You are encouraged to discuss it with ORSP as it is being developed. Assistance in constructing a budget or cost proposal is available from an ORSP representative. All proposal developers are encouraged to include students in the projects as salaried personnel, e.g. research or laboratory assistants, tutors, counselors, mentors, etc., unless prohibited by program guidelines.

5. Complete the [Internal Proposal Cover Sheet \(Appendix B\)](#) and sign it with the department chairperson and the dean of your school. The *Internal Proposal Cover Sheet Form* and instructions on how to complete it are available on line at the ORSP web site [Research & Sponsored Programs](#).
6. Submit the *Internal Proposal Cover Sheet* together with a copy of the request for proposals and a full proposal package (including the forms and assurances required by the agency) to ORSP. ORSP will obtain the remaining signatures and submit the proposal on behalf of the University. We encourage you to submit proposals for the signatures of authorized officials at least 10 days prior to the deadline.

For unsolicited proposals follow the same basic steps, as applicable.

## **OFFICIAL APPROVAL/AUTHORIZATION**

Pre-approval by the appropriate administrators is mandatory. Approval of a proposal by the appropriate department chairperson indicates a favorable evaluation of academic merit. Approval of a proposal by the appropriate dean indicates a favorable evaluation of its financial implications and/or requirements—as well as its congruence with the School’s mission.

Approval of a proposal by the ORSP, the Vice Chancellor for Research, Innovation, and Economic Development, the Vice Chancellor for Finance and Administration, and the Chancellor of the University, indicates that the proposal has been reviewed for: 1) proper calculation of salary and fringe benefits; 2) correct application of indirect costs; 3) the availability of funds for any University match; 4) general compliance with University policies and procedures; and 5) overall administrative consensus that the project will be beneficial to the University and its mission. All proposals submitted on behalf of the University are to be signed by the Chancellor or his designee.

## PROPOSAL COMPONENTS IN DETAIL

In instances where specific guidelines are not enumerated by a potential funding source, a complete proposal will most often respond to the journalist inquiries of “Who? What? When? Where? Why? and How?” From beginning to end, the proposal should “flow” in a manner which suggests that it is a well-conceived and well-structured document. The following components are generally included in such a document:

1. **Abstract:** The abstract should clearly and concisely delineate the following:
  - *Need* (importance/timeliness of the project)
  - *Objectives* (realistic/quantifiable)
  - *Methodology/Procedures*  
(should match the objectives & include personal knowledge of related work in the field)
  - *Significance/Impact* (relationship to other disciplines/universality)
  - *Available resources and personnel*

As a concise statement of the full proposal, the abstract should be written last. Reviewers will read it first to gain a perspective of the project and its expected significance. They will also use it as a reference during discussions with other readers. Key concepts should always be highlighted.

2. **Table of Contents:** All major topics of the proposal should be listed in the Table of Contents (including the appendix); however, it is not necessary in brief proposals (three to five pages).
3. **Introduction:** The institution and the area/(s) involved in the proposed program should be identified in the introduction. The goals, how they will be attained, who will be involved, and the qualifications of the investigator/(s) should be discussed. Also, a one-or-two-page staff vitae is preferred and should be placed in the *Appendix* section unless requested otherwise.
4. **Problem Statement/Rationale/Need:** A well-documented, realistic description of the problem and its proposed solution/(s) should be included in this section. In addition, relevant statistical data that support the assessment of the problem should also be included, e.g. whether it duplicates an existing problem or what necessitates the project’s timeliness.



5. **Goals/ Objectives:** What is intended to be accomplished should be stated clearly in this section. Statements of objectives should indicate what *will be* achieved rather than the method/(s) of achievement. They should be stated in quantifiable terms, whenever possible. For example, to raise the proficiency of 25 tenth graders by one grade level over a twelve-month period.
6. **Methodology:** A full description of the means by which the objectives will be achieved, as well as a description of familiarity with methods previously experienced and their results, should be provided in this section. They should follow a logical sequence and support the premise of likely success. In addition, major activities should be identified and set within a timetable for orderly presentation. If applicable, certain approvals and safeguards should be discussed if the research involves human subjects. *Procedures for obtaining Institutional Review Board approvals for matters concerning human subjects in research are discussed in this manual under the heading "Policies on Research."*
7. **Evaluation and Dissemination:** An essential element of any proposal, the evaluation provides final evidence of success or failure for both the University and the funding source. It measures needed changes/adjustments in programs lasting more than one year. *Subjective* evaluations are generally discouraged because they focus primarily on opinions and feelings of participants. *Objective* evaluations are most preferable because they are more likely to include pre- and post-test instruments, interim testing, and/or other examinations of observable circumstances. For example, who will conduct the evaluation? How does the cost compare to the total cost of the program? And, what will be done with the results?
8. **Budget:** The budget of any proposal is always the "bottom line." Based on estimated cost, it must be as accurate as possible and consistent with the program and University administrative guidelines/procedures. When a project is expected to extend over more than one year, the budget for each additional year should be incremented at the standard "cost-of-living" rate.

The components of the budget (*Direct Costs*—those directly attributable to the project, and *Indirect Costs*—those that cover general management and support charges) should be reviewed, discussed and cleared by the proper administrators, prior to submission of the final draft for overall proposal review and signatures of approval. Fringe benefits and indirect cost rates change. The current indirect cost and fringe benefits rates can be obtained from ORSP.

9. **Appendix:** Documentations such as: 1) letters of support, 2) charts, and 3) any other technical information for reference are included in this section. *“Overkill” resulting from a proposal that is too lengthy and too cumbersome should be avoided.*
10. **Appliance/Assurance Forms:** As a result of congressional actions, a number of assurances must be included in proposals, which entail: 1) Drug-Free Workplace, 2) Lobbying, 3) Anti-Discrimination, and 3) Debarment/Suspension. They all require the Chancellor’s signature on behalf of the University.

## **THE PROPOSED BUDGET**

The project cost must be carefully planned, and the budget must be inclusive-  
- providing a complete picture of overall expenses involved, e.g. personnel, activities, evaluation and dissemination. The primary budget categories should include the following:

### **a. Personnel/Salaries and Wages**

Personnel/Salaries and Wages may be charged to the project on a full-time or part-time basis. When salary support is less than full-time (particularly for the principal investigator or project director) the hourly rates/percentages of full-time effort and salary base must be specified. Future salaries (increases) may be estimated at 3% annual increments.

### **b. Student Support**

Student support includes graduate student stipends, fellowships, tuition, undergraduate salaries, and scholarships. All research grants are expected to provide some form of support for students, unless prohibited by the funding agency or organization.

### **c. Fringe Benefits**

Fringe benefits are charged to grant applications as direct costs. Standard UAPB fringe benefit rates must be applied to personnel costs in all proposal applications. There are two official fringe benefit rates: for faculty/staff, and for extra-help personnel. The current rates can be obtained from ORSP. *Fringe benefits are not applied to the student support category.*

### **d. Travel**

Travel expenses include transportation, lodging, subsistence and related items (tolls, parking, etc.). Detailed information on both domestic and foreign travel should be provided.

**e. *Supplies and Materials***

Supplies and materials include consumable items, raw materials for fabricating project items, computer software, etc.

**f. *Equipment***

Equipment includes items with an estimated cost of \$2500/more per unit. Funding source guidelines should be carefully checked to determine whether specific items of equipment are among allowable costs.

**g. *Infrastructure/ Construction/ Renovations***

Alterations and Renovations include work required to change the interior of an existing facility, to either adapt it to meet programmatic requirements or to enhance it for its currently designated purpose.

**h. *Other***

Other includes items not readily assignable to another category such as: 1) rental cost (space, equipment, furniture); 2) shipping and handling/communications (postage, facsimile transmissions, toll calls); 3) library acquisitions, 4) internet access fees; 5) computer time; 6) printing and duplicating expenses; 7) evaluations; 8) participant support; 9) conference fees; and 10) consultation—unless guidelines specify a separate listing.

**i. *Indirect Costs***

Indirect Costs or Facilities and Administration Costs (F&A) are those expenses which result from shared services and cannot be *directly* charged to the project such as: 1) library facilities, 2) building and equipment maintenance; 3) utilities, 4) purchasing, 5) payroll, 6) accounting, and 7) general administration. All other budget items (salaries and wages, materials, supplies, equipment, travel) are easily identifiable as direct costs.

Indirect costs are real and necessary expenses of UAPB in support of its costs of operation. Unless prohibited or restricted by the sponsor, indirect costs should be included in the budget of each proposal submitted to funding organizations external to the University. These costs must be budgeted in order that UAPB would not experience an adverse cash flow because of lack of recovery of true expenses incurred in the execution of research, public service, or instruction, which has not been allowed for in the State's appropriation to the University.

Indirect costs rates are determined through periodic negotiations between UAPB and the U.S. Department of Health and Human Services. The basis for these negotiations is a close review of information provided by UAPB about its costs and operations. The negotiated indirect cost rate should be

used in all grants and contracts, unless restricted by the sponsor. The current UAPB base upon which the indirect rates are calculated is one of salaries and wages excluding benefits.

The UAPB indirect cost rate agreement includes two rates assigned for on- and off-campus sponsored projects, according to the actual location of the proposed effort. The off-campus indirect cost rate should be used for those sponsored activities, which are located and conducted at sites that are not University owned or operated.

## **COST SHARING/MATCHING**

Some grant programs require that grant funds must be matched proportionately with non-grant funds, or that the grantee participate in the cost of the project. Policies frequently prescribes matching requirements in the grant program's authorizing legislation and sets limits on federal participation in a project. Similarly, cost sharing is often required under research grants and most often is prescribed by Legislators in various appropriation acts.

Costs used to satisfy a matching share or cost-participation requirement may be financed using either or both of the following:

- allowable costs incurred by UAPB; and/or
- the value of third-party in-kind contributions.

Given that UAPB resources available for matching are limited, offering voluntary cost share (when it is not required by the call for proposals) is strongly discouraged. When cost share is required to be considered for an award, Principal Investigators are requested to first use some or all unrecovered indirect costs as a match, to the extent allowed by the funding agency.

Costs of expenses incurred by the administrative offices that serve the entire university system (Accounting, Purchasing, Personnel, Facilities Management, Technical Services, Space, Utilities, etc.), as well as materials and supplies

associated with the performance of duties of departmental administration may not be included as part of cost share when the full amount of indirect costs (either paid by the agency or unrecovered) is included in the budget.

If salaries, supplies or other line items that require cash outlays are included in the cost share budget, the Principal Investigator should consult with the chair of his/her department to determine from which accounts institutional support funds may be drawn. When this is determined, the amounts to be contributed and the accounts from which funds will be drawn must be listed in the Detailed Cost Share/Match section of the Internal Proposal Cover Sheet.

## **ELECTRONIC SUBMISSION OF PROPOSALS**

In many instances, proposals can be submitted to the funding agency electronically. Government and some private agencies are converting to computer-based systems that encompass searching for opportunities, grant submission, award administration, and reporting. Grants.gov, managed by the U.S. Department of Health and Human Services, serves as the portal by which Federal proposals may be submitted.

ORSP is officially registered as a Primary Organizational User/ Account Administrator for all UAPB accounts with the systems of electronic proposal submissions, including Grants.gov, eRA Commons and FastLane. All electronic proposals are to be submitted by ORSP or its designee.

**Submission of applications via Grants.gov (the Federal government's single on-line portal):** The Principal Investigator must first download the grant application package, complete, and save it locally on his/her computer. However,

before you can download an application package, you will need to download and install the PureEdge Viewer. This program will allow you to access and complete applications. NIH and other PHS agencies *require* all text attachments to the PureEdge forms to be submitted as PDF files. Text attachments/files should be prepared using a word processing program and then converted to PDF before being attached to the appropriate component in the application package. Some type of PDF-creation software is necessary to create the PDF. The University's Technical Services is available to assist in installing whatever software that is needed to complete the application process. After completion, a copy of the application package has to be provided to an ORSP representative, who transmits it electronically. *Principal Investigators do not need to register with Grants.gov.*

Within two (2) business days after the electronic submission, Grants.gov performs validation of the application and notifies UAPB via the ORSP representative who transmitted the application about the errors that may need to be corrected. The entire corrected application must be resubmitted to Grants.gov. Prior to a specified submission date, applicants may make corrections and resubmit an application through Grants.gov. After a specified submission date, if applicants make corrections and resubmit, the application will be considered late. In this case, a cover letter explaining the reasons for the delay must be included. Late applications are accepted only in extenuating circumstances and are evaluated on an individual basis considering the reasons provided.

**Submission of applications via eRA Commons (the NIH electronic Research Administration system):** Principal Investigators must be registered in

the eRA Commons with an account created in the system. In order to get registered, the Principal Investigator must contact an ORSP representative, who is responsible for creating a log-in for investigators wishing to submit a proposal electronically.

The Principal Investigator does the initial transmission (at the designation of ORSP) of the application to the eRA Commons. Within two (2) business days after transmission of the application package, both the Principal Investigator and the ORSP representative will be notified by email to check the eRA Commons for results of NIH validations check. If it passed, both the Principal Investigator and the ORSP representative need to verify the application in the system in order to complete the submission of the application. Applicants can track the progress of their application in the eRA Commons. Please note that although the eRA system will make every effort to send an email to the Principal Investigator and ORSP representative summarizing download and validation results, this method of notification cannot be completely guaranteed. Applicants are strongly encouraged to periodically check on the application status both in Grants.gov and the eRA Commons, so that the application verification can be effected in the timeliest manner possible. Timely verification will enable the application to continue through the remaining steps in the agency review process. Failure to perform this review and verification process in the time allotted may prevent the application from receiving further consideration by the agency.

**Submission of applications via FastLane (the NSF electronic system):**

Upon request from Principal Investigators, an ORSP representative will create an initial password to allow access into FastLane for each user. The user will be

prompted to change his/her password if it is desired. When the proposal is ready, a Principal Investigator will pre-submit (at the designation of ORSP) it in FastLane. After that, a designated ORSP representative will log into the system and transmit the proposal directly to NSF. Upon receiving notification of a successful transmission and an assigned reference number from NSF, the ORSP representative will forward this information to the Principal Investigator.

In order to meet the application deadline, it is recommended that all applications that require electronic submission would be submitted two weeks before the deadline.

All necessary signatures on the Internal Proposal Cover Sheet should be acquired before the transmission of the proposal.

## **THE UNSUCCESSFUL/SUCCESSFUL PROPOSAL**

Federal agencies often provide an explanation of reasons why an application was not recommended for funding. It is usually presented in the form of a particular score or ranking achieved as a result of the review process. A copy of the reviewer's comments/scores is often provided upon request. Below are the most common reasons why research proposals may not be funded:

- research goals inappropriate or unclear
- study design deficient
- staff, time, and budget inappropriate
- problems in overall presentation
- administrative detail
- no funding plan beyond the termination date, no apparent sustainability

An effective grant proposal has to make a compelling case. Not only must the idea be a good one, but so must the presentation. Successful grant-writing involves solid advance planning and preparation. Organize your proposal, pay



attention to detail and specifications, use concise, persuasive writing, and request reasonable funding. Clearly understand the funder's guidelines before you write your proposal. Make sure the funding agency's goals and objectives match your grant seeking purposes.

A well-prepared, well-documented, easy-to-read proposal encourages a reviewer to put it *on top* of the "to consider" pile.

## POST-AWARD ADMINISTRATION

### **NEGOTIATING THE AWARD**

Whenever a proposal is recommended for funding at less than the amount requested, the project director or principal investigator *may* be contacted by a representative from the funding agency, suggesting an unofficially approved amount and offering comments/suggestions relative to the proposed project activities. Note and keep in mind that ORSP is the official contact for assistance in constructing a revised budget, and nothing is official until a signed copy of an award document is received by the University. In addition, responses to inquiries relative to project activities that *do not* involve budget items should be prepared by the project director. Both financial and technical responses are to be transmitted over the signature of an authorized University representative, e.g. the Chancellor or Vice Chancellor for Finance and Administration, or their designee.

## **THE AWARD INSTRUMENT**

The Award Instrument formally acknowledges the award of funds by an authorized representative of the funding agency. It will typically contain information such as:

- The grant number assigned by the agency
- The project title
- The amount of the award
- The CFDA number
- The name of the principal investigator/project director
- The name of the agency's project program/technical officer
- The name of the agency's grant/fiscal officer
- The period of the award (start and end dates)

When UAPB receives notification of funding, ORSP will notify the principal investigator within one business day. In the event if a principal investigator receives notification of funding directly, he/she is required to forward all award documentation to ORSP as soon as possible. ORSP is responsible for obtaining the signature of an authorized University representative (e.g. the Chancellor or Vice Chancellor for Finance and Administration, or their designee) on all official award documents.

## **FINANCIAL ACCOUNTING SYSTEM**

Operating in compliance with OMB [2 C.F.R. 220 Uniform Guidance](#) "Cost Principles for Educational Institutions", the University accounting system facilitates the monitoring of grant expenditures, as well as the preparation of required reports.

Upon receipt of the award instrument, ORSP will assign the new award a grant account number, which will identify the project, and a cost-share account number, if cost share is required by the award. The budgets for the grant and cost

share portions of the project will then be placed in the financial record system to facilitate both purchasing and accounting procedures.

Notifications of the new accounts are sent to the principal investigator and the Dean of the school with a complete copy of the award documentation.

Principal investigators have the responsibility to ensure that grant budgets are not exceeded. Effective July 1, 2005, when grant award budgets are exceeded, the overage is transferred from the principal investigators' respective (E&G) departmental accounts.

Since principal investigators and project directors have the fullest knowledge regarding the expenses charged to their grant accounts, including those that may not yet be posted, it is recommended that they maintain the most updated record of expenses in the departments. Such a record can be a simple Excel spreadsheet listing all the requisitions submitted for each account and comparing the total expenses against the award budget.

### **MONTHLY BUDGET REPORTS, FINANCIAL REPORTS & INVOICES**

Program directors (budget officers) and principal investigators are responsible for monitoring their budgets on a monthly basis. Budget officers can run monthly expenditure reports in real-time. These reports are the ACCOUNT AVAILABILITY REPORT (GLSA) and the DETAIL BUDGET STATUS REPORT (GLBS). Grant Accountants are also available to provide a copy of the current reports of expenditures from the general ledger upon request.

The Account Availability summarizes the account's budget and actual activity to show the budget available for future activity. This information is shown for both

revenues and expenditures. The Account Statement report also shows the outstanding encumbrances against the account.

The Detail Budget Status shows the detailed transactions that occurred on the account for the month. This information provides the detailed audit trail for the summarized data on the Account Availability report.

Budget officers/principal investigators are required to review, initial and date monthly budget reports in their respective areas. This requirement is to ensure that all questionable costs are identified and resolved in a timely manner.

Equally important in the grant budget management is the need to limit the under-expenditure of funds, which might denote efficiency of operation but at the same time indicate that the sponsor is not receiving the level of expected output.

All required financial reports and invoices to the sponsoring agencies are prepared and submitted by ORSP according to the requirements of each award. Project directors and/or investigators may not submit financial reports and invoices on behalf of the University. Copies of the financial reports and invoices are available to principal investigators upon request.

## **RETROACTIVE COST TRANSFERS**

Sometimes it is necessary to make correcting journal entries (retroactive cost transfers) to ensure that original charges and/or credits are recorded in the proper account, fund group, department, project, and expenditure code. A memorandum from the PI should be completed for any "Cost Transfer" and submitted to Grants Accounting for final approval and processing. Payroll retroactive cost transfers for correction of labor and benefit charges are recorded

on a "Personnel Action Form" (PAF) and corrected with a journal entry on the G/L JE Summary Form.

Individuals responsible for sponsored agreement administration may request necessary reclassification of accounting data. Since the original entry is presumed to have been approved after adequate review, any change should be fully justified. The department/unit must ensure that funds are available to permit any transfer of charges/credits. Documented explanation and justification should be provided in order to evaluate the appropriateness of the cost transfer.

For sponsored agreements, retroactive cost transfers for the purpose of expending available funds still remaining on a project are not allowable. Other unacceptable purposes for retroactive cost transfers include circumventing award restrictions, avoiding a cost overrun by charging another unrelated agreement, or transferring an item which applies to a closed fiscal year. Regulations governing cost transfers are specified in OMB 2 CFR 200 and in certain federal sponsors' regulations:

"Any costs allocable to a particular research (sponsored) agreement...may not be shifted to other research (sponsored) agreements in order to meet deficiencies caused by overruns or other fund considerations, to avoid restrictions imposed by law or by terms of the research agreement, or for other reasons of convenience."

(OMB 2 CFR 200) "...Frequent, tardy, and unexplained (or inadequately explained) transfers, particularly where they involve projects with significant cost overruns or unexpended fund balances, raise serious questions about the propriety of the transfers themselves as well as the overall reliability of the institution's accounting system and internal controls.

A memorandum should be used to request, document, justify, and certify a correction to the accounting records. Transfers should be made within 90 days (3 months) from the end of the month that the charge appears on the GLBS (Detail Budget Status Report). For example, if the cost to be transferred is recorded on 1/7/0X, then the retroactive cost transfer should be processed within 90 days of 1/31/0X (by 4/30/0X). After the 90-day period, an explanation of tardiness or certification of change should be included with the normal justification for transfer.

Acceptable Criteria for a cost transfer is justified in the following circumstances:

- 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.

The journal entry (GL J/E Summary) should be supported by documentation that contains a full explanation and justification for the transfer. Documentation consists of either 1) a copy of the original invoice document and 2) the GLBS showing the transaction(s) charged/credited to the incorrect account.

Revisions to the effort (and corresponding dollars) of personnel charged or credited to a grant account should reflect the Time and Effort Confirmation Reports ("time and effort" reports) that have been certified for the pay period(s) corrected.

The Principal Investigator must certify on the memo the following: (1) the change indicated on the grant/contract is correct; (2) the costs are allowable; (3) funds are available to make the transfer; and (4) the grant/contract benefiting directly from the respective charges. The following approval signatures are required for the transfer:

- Principal Investigator/Budget Officer
- Grant Accountant
- Assistant Controller or Controller

## **DOCUMENTING COST SHARE**

Cost sharing becomes a condition of an award when it is made part of the approved award budget. The award is made on the assumption that cost sharing is necessary to meet the grant objectives. When cost sharing falls short, the funding agency could require a portion of its funds returned. Both UAPB costs and third-party in-kind contributions should be verified by appropriate documentation.

UAPB cost share costs will be charged to cost share accounts set up for each award with a cost sharing component in the approved budget. Budget amount of cost share will be reallocated to the award's cost share account from the principal investigator's departmental E&G (110) account. The amount of UAPB cost share for each period will be reported to the funding agencies based on the expenses charged to cost share accounts. The hiring units should submit Personnel Action Forms



(PAF's) to enable posting cost share portions of salaries of faculty and staff to cost share accounts.

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 \(Appendix C\)](#), 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 2 CRF 200, 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 their awards. ORSP is available to assist with the interpretation of the federal and non-federal regulations.

A request to revise a grant/contract must be initiated by the principal investigator and approved by the funding agency prior to making any project changes. Questions relative to the allowability of certain activities or expenditures, which cannot be addressed by the University, will be referred to the funding agency's designated project officer for answer. Written request for approvals must be submitted by the principal investigator via ORSP.

## **PURCHASING PROCEDURES**

According to the OMB 2 CRF 200 "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations", grant fund expenditures are governed by whichever law is most restrictive (state or federal). Even if a specific product or service is written into the approved proposal, whether or not this is what you will actually be able to

order will depend upon what the bid process will yield. Please keep in mind that **the State of Arkansas' buying laws are more restrictive than the Federal.**

All purchase requisitions charged to sponsored and cost share accounts should be submitted to the UAPB Procurement office via ORSP. ORSP will confirm the availability of funds and the allowability of expense. All purchases must be in compliance with funding agency regulations and University policies and procedures.

Principal investigators initiate requisitions based on the needs of the project, which are consistent with the approved budget.

Points of consideration when needing to purchase are as follows:

- The eighteen digit account number, which identifies the grant account and type of purchase being requested, should be placed on the requisition. For example, in the account #499-23-12345600-53000, the first thirteen digits indicate the *fund, function and center code*; the last five digits are the *object code* and indicate that a request is made for a particular classification, in this case--*supplies*.
- The **spending limits, types of procurement and lead time** to purchase order should be considered in order to receive the commodity or service in a timely manner\*

LIMIT	CATEGORY	APPROXIMATE ISSUE TIME
<b>.0 cents to \$5,000</b> (usually commodities)	Small Order	<b>1-2 days</b> (no bidding required)
<b>\$5,000-\$25,000</b> (usually commodities)	Quotation Bid	<b>1-2 weeks</b>
<b>\$25,000 ad infinitum</b> (usually commodities and construction)	Formal Bid	<b>3-4 weeks</b> (formal bid) <b>4-6 weeks latter</b> (after specs are prepared)
<b>\$25,000 ad infinitum</b>	RFP (Request for Proposal)	<b>6-8 weeks</b> (usually services such as consultants, evaluators, facilitators, etc.)

## **Sole Source/Single Source Procurements:**

- The commodity is available from only one supplier due to patent or copyright restrictions.
- Latent damage or a compatibility issue exists with a procurement.
- There is public exigency or an emergency need for items, (as defined by State Procurement Law), which will not permit the delay associated with competitive solicitation.
- After solicitations and advertisements, competition yields no other sources.

\* (If not on state contract)

## **PROPERTY CONTROL/MANAGEMENT**

Property accounting is a mandatory process that is necessary to document what the University has and maintain collaborative accountability of all new acquisitions with the general ledger.

Generally, equipment purchased through University accounts is received by Central Receiving (CR). A state decal must be attached to all new equipment before it leaves CR. The requester of new equipment should be available to verify that the equipment received is correct and is what was ordered. If the inspection by the requester is not done within two working days, the Property Control (PC) Manager at his/her discretion may authorize the attachment of the decal without the requester's signature. CR then takes responsibility for accepting the equipment and 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 Management is required.

Equipment requiring assembly will be assembled by PCM at the Hazzard Annex and subsequently delivered to the department. When the equipment is large or complex and requires professional assembly, craftsmen from the Facilities Management 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".)

The classified personnel hiring process (whether part-time or full-time) requires that an *Employment Application* be completed by the applicant and, if approved, a PAF is submitted for processing via the Office of Administrative Services. For additional information regarding the personnel hiring process (extra-help, etc.), contact the Personnel Office.

When employing students on research and sponsored projects as extra-help, the Office of Financial Aid should be contacted to find out the maximum amount of money the student can earn. If the student is found eligible to earn additional compensation, then, the proper forms/paperwork should be executed. Extra-Help forms are available in the Personnel Office, and all student forms are available in the Office of Financial Aid.

Project personnel assigned to off-campus sites (e.g. University of Arkansas Medical Sciences) are required to:

- attend regular meetings with the campus coordinator
- undergo a periodic performance review of their work
- comply with *Time and Effort Report Policy*  
--as for all other externally funded projects

These individuals are to be treated as employees of the University and not as employees of the organization/site at which they are located. Grant funds cannot be used to increase one's salary; however, concurrent employment is permissible under certain circumstances (See: [Concurrent Employment Request](#) - **Appendix E**).

## **SUBAWARDS**

A subaward is a transfer of substantive programmatic work under a grant. Subawarding always requires prior agency approval, unless it is incorporated in the approved proposal.

If a potential sub-recipient organization is identified prior to proposal submission, it must submit a proposal to UAPB, including the Statement of Work, Budget and Budget Justification. The Principal Investigator should then incorporate the sub-recipient's material into his/her proposal following the sponsor's instructions. The potential sub-recipient's budget should be incorporated into the UAPB budget as a line item.

The Office of Research and Sponsored Programs (ORSP) has responsibility for ensuring that subaward agreements contain appropriate federal and other applicable regulations. Upon receipt of the information from the Principal Investigator, ORSP will prepare a draft of the subaward agreement. The Principal Investigator should provide ORSP with the particulars of the subaward, including a copy of the sub-recipient organization's Statement of Work, Budget and Budget Justification. All terms and conditions accepted by UAPB flow down to sub-recipients of awards.

If the Principal Investigator determines that a subaward needs an amendment, ORSP will prepare a draft of the amendment documentation.

Principal Investigators (PI's) have primary responsibility for the monitoring of sub-recipients to ensure compliance with federal regulations and with the terms of both the prime award and the subaward. PIs are responsible for ensuring that

subaward costs are reasonable and allowable, and for ensuring that the sub-recipients are accomplishing their agreed-to program goals and objectives. PIs are also responsible for the receipt and review of technical performance reports or other deliverables and the review of expenses vs. budget. There may be additional sponsor-specific or program-specific requirements that mandate collection and documentation of other kinds of assurances.

Reports from the sub-recipients must be in sufficient detail for the Principal Investigator to determine whether the funds are being properly used. To achieve the goal of effective monitoring, it is critical for the Principal Investigator to establish regular communication with sub-recipients and maintain a system for early flagging of potential problems.

## **TIME AND EFFORT REPORTING**

Time and effort reporting requirements are based on Section J.10 of the OMB OMB 2 CRF 200 Uniform Guidance: “Cost Principles for Educational Institutions”, which establishes principles for determining costs applicable to grants, contracts, and other agreements with educational institutions. For all staff whose salary is paid fully or partially out of sponsored accounts, as well as for those whose salaries are charged to cost share, UAPB is required to maintain records confirming the actual time that was spent working on each project.

Time and Effort reports serve as proof to the auditors of the fact that an employee had indeed devoted certain time and effort to a particular project, which received off-campus funding. In addition to that, Time and Effort reports are a basis



for adjusting salary charges if there was a change in the work activity of an employee.

As you know, the distribution of salaries and wages of UAPB staff applicable to sponsored agreements is based on work activity budgeted in the approved award proposal. Time and Effort reports are in place to confirm after-the-fact a percentage distribution of effort spent on each federally sponsored project (please note that total effort on the report must always equal 100%).

Effective January 1, 2012, Grants Accounting (ORSP) will produce Time and Effort forms quarterly. The schedule for the release and return of Time and Effort forms is listed below:

Release:	January 20 <sup>th</sup>	Return:	February 5 <sup>th</sup>
	April 20 <sup>th</sup>		May 5 <sup>th</sup>
	July 20 <sup>th</sup>		August 5 <sup>th</sup>
	October 20 <sup>th</sup>		November 5 <sup>th</sup>

If the reports accurately describe the distribution of effort, they have to be signed by the staff and their supervisors and returned to ORSP in a timely fashion. If the person is no longer employed by UAPB by the time when the department received his or her Time and Effort report, the signature of a supervisor is sufficient to document the distribution of effort.

If the distribution of actual effort had been different than the distribution reflected on the report, retroactive adjustments to the payroll have to be made. The adjustments will only take place if there is a significant change in the time and effort distribution. Short term (such as one or two months) fluctuations between workload categories do not have to be considered as long as the distribution of salaries and wages is reasonable over the term of 6 months.

## **FIXED-PRICE CONTRACTS**

Fixed-price contracts provide for a price that is not subject to any adjustment on the basis of the contractor's cost experience in performing the contract. Contracts of this type place upon UAPB full responsibility for all costs and resulting profit or loss, while imposing a minimum administrative burden upon the contracting parties.

Since fixed-price contracts provide maximum incentive to control the project costs, it is sometimes the case that UAPB expenses are less than the amount paid by the agency by the time of the contract close out. When this is the case, excess cash will be transferred to another unrestricted account after the contract is closed and all the required reports submitted and accepted by the agency. Indirect costs that may be due to UAPB on the contract will be withheld prior to such transfer. The left over funds may then be used for the departments' operating expenditures or to meet cost share requirements for other awards.

## **FILING AND RECORD RETENTION**

### **Filing**

1. A separate file is maintained for every award. The file should include the following documentation:
  - A copy of the proposal, including the proposal budget
  - Original or a full copy of the award agreement signed by the agency and UAPB
  - Documentation related to opening the grant account
  - Documentation related to opening the cost-share account for the awards that require cash match/cost share
  - Copies of all financial reports with appropriate backup for each report
  - Originals or full copies of all award modifications
  - Completed close-out form (the form is added to the file after the award ends)
2. Grant Accountants are responsible for creating and maintaining award files.

3. Director of Sponsored Programs is responsible for documentation flow related to award proposals.
4. Grant Accountants are responsible for documentation flow related to award close out.

### **Record Retention**

1. Pursuant to the *OMB 2 CRF 200, Section .53, Subsection (b)*, all records pertinent to the federal awards are retained for a period of three years from the date of submission of the final expenditure report or, for awards that are renewed annually, from the date of the submission of the annual financial report. If any litigation, claim, or audit is started before the expiration of the 3-year period, the records shall be retained until all litigation, claims or audit findings involving the records have been resolved and final action taken.
2. Records for non-federal awards are retained in the same way as records for federal awards.
3. Copies of unfunded proposals and fully executed Internal Proposal Cover Sheets are retained for a period of 12 months after the date of submission deadline.
4. Copies of funded proposals and fully executed Internal Proposal Cover Sheets become a part of the award files and are retained in accordance with paragraph 1 Section II of this Policy.

### **PRINCIPAL INVESTIGATOR TRANSFERS**

When a principal investigator, who receives external funding, transfers to or away from UAPB, ORSP will work to coordinate this process by reviewing and providing assistance in processing the official paperwork that is needed for the transfer.

Much of the administrative work involved in the transfer of sponsored funding will be initiated by the investigator who is changing institutions as well as the investigator's department. When the principal investigator is transferring to or away from UAPB, a decision must be made as to whether the project will stay with the original institution or will be transferred to the new institution. Approval of the

funding agency is required for the transfer of sponsored funding and for principal investigator transfers. ORSP can help to interpret the specific terms and conditions of an award related to the transfer and to facilitate discussions necessary to complete a desired transfer.

For transfers of funding from UAPB to another institution, the official endorsement from UAPB officials, including the Department Chair, the Dean of school, and the Chancellor are required, along with a written approval from the sponsoring agency.

In those cases where an award is not expected to follow the investigator, the sponsoring agency should be notified to request a change in the principal investigator. In cases where the award will be transferred to the principal investigator's new institution, a request for transfer of an award should be discussed with the funding agency's program officer as early in the process as possible so that any complications or concerns can be addressed in a timely manner.

#### Responsible Parties:

*Principal investigators* have the ultimate responsibility for providing information about the move to departmental and ORSP personnel in a timely manner and ensuring that the transfer of the award is completed in accordance with all applicable federal and sponsor regulations. The principal investigator is also responsible for completing any required technical reports.

*Departmental administrators* have the responsibility to conclude transactions and make any necessary adjustments to award accounts for departing principal investigators.

*ORSP* will review each sponsored program transfer and perform the functions necessary to reconcile the financial aspects of the awards and to complete the financial statements. In addition, when a project is leaving UAPB, ORSP will obtain signed amendments ending any outstanding subcontracts or other agreements.

## POLICIES AND PROCEDURES

### **MISCONDUCT IN RESEARCH**

The University's policies and procedures for addressing allegations of research misconduct are described in detail in the document, *"Policies and Procedures for Handling Misconduct in Sciences."*

The procedure for the investigation of allegations of research misconduct will have at least four stages, namely:

1. an inquiry to determine whether the allegation of research misconduct warrants further investigation;
2. an investigation, when warranted, to collect and thoroughly examine evidence;
3. a formal finding; and
4. an appropriate disposition of the matter.

In addressing allegations of research misconduct, the University will act through the Research Committee. The functions of this committee include: 1) conducting inquiries into the allegations of research misconduct and determination of whether or not further investigation is warranted; 2) determination of the composition of the investigative committee to evaluate the evidence, as appropriate; 3) formulation of recommendations on corrective or disciplinary actions to take when research misconduct or serious research errors are found; 4) dissemination of findings of the committee to the Chancellor for action, as appropriate.

Research fraud is a form of scientific misconduct involving deception. It should be distinguished from honest error, which can occur inadvertently in any

enterprise. It is often difficult when confronted with an allegation to determine where along the spectrum—from error to fraud—a particular case will lie. The following are some examples/definitions of various types of errors/fraud:

- **Misconduct** – 1) fabrication, falsification, plagiarism, or other serious deviation from accepted practices in proposing, carrying out, or reporting results from research; 2) material failure to comply with federal requirements for protection of researchers, human subjects, the public and assuring the welfare of laboratory animals; 3) failure to meet other material legal requirements governing research.
- **Falsification of Data** – ranging from fabrication to deceptively selective reporting, the purposeful omission of conflicting data with the intent to falsify results.
- **Plagiarism** – representation of another’s work as one’s own.
- **Misappropriation of Others’ Ideas** – the unauthorized use of privileged information, such as *violation of confidentiality of peer review*, or however obtained.

## **INSTITUTIONAL REVIEW BOARD/HUMAN SUBJECTS COMMITTEE**

The function of the Institutional Review Board (IRB) is to review projects and activities that involve human subjects. Membership in IRB is by appointment by the Chancellor or by his/her designee. The Board determines, for each activity, whether subjects will be placed “at-risk” and, if there is risk involved, whether:

- the risks to the subject are so outweighed by the sum of the benefits to the subject, and the importance of the knowledge to be gained warrants a decision to allow the subject to accept the risks;
- the rights and welfare of any subject will be adequately protected;

- legally effective, informed consent will be obtained by adequate and appropriate methods; and
- the conduct of the activity will be reviewed at timely intervals.

Any research project, which involves human subjects must be approved by the Human Subjects Committee. Protocols must be submitted to the committee *no later than 10 working days prior to the proposal deadline, and there are no exceptions*. The minimum requirement is: 1) a cover letter; 2) a copy of the proposal cover page; 3) an abstract (one-page minimum), 4) a detailed description of the procedures involving human subjects. Literature references are not sufficient for this description; 5) copies of all survey instruments used in the study. (See: [Human Subjects Protocol](#) - Appendix F).

## **INSTITUTIONAL ANIMAL CARE AND USE COMMITTEE**

The Institutional Animal Care and Use Committee (IACUC) at the University of Arkansas at Pine Bluff (UAPB) was instituted to oversee the University's animal research programs, facilities and procedures through the experience and expertise of its members. Membership in the committee is by appointment by the Chancellor or by his/her designee. That committee's responsibilities include the following:

- Review at least once every six months the program for humane care and use of animals in research.
- Inspect and evaluate at least once every six months all animal research facilities - including animal study areas.
- Prepare signed reports of the committee's evaluation of animal research facilities. [Such reports shall be updated at least once every six months after completion of the required semiannual evaluations of research facilities, and shall be maintained by the research facilities.]
- Review all concerns involving the care and use of animals for research.

- Make appropriate recommendations to University officials concerning any aspect of the institution's animal research program, facilities and/or personnel training, when warranted.
- Review, approve, require modifications in or withhold approval of those components or sections of a proposed animal research activity related to the care and use of animals that do not meet accepted standards of animal care and use.
- Review, approve, require modifications in or withhold approval of proposed significant changes concerning the care and use of animals in ongoing animal research activities.
- Have the authority to suspend an animal research activity that does not meet recommended standards of care and use of animals.
- Operate strictly according to the standards of care and use of animals for research recommended by the U. S. Public Inspection Service (USDA) in their booklets on animal welfare.
- Make available to persons involved in animal research at the University the above-mentioned booklets on animal welfare published by USPHS and USDA.
- Assist the University in filing and obtaining the Assurance required by Government agency/(ies).

[See: *Institutional Animal Care and Use Committee Policies and Guidelines* manual for an explanation of the committee's services and/or functions; and see **Appendix G** for copy of the [Application for Use of Vertebrates for Research, Teaching or Demonstration Form](#).]

## **INSTITUTIONAL BIOSAFETY COMMITTEE**

The Institutional Biosafety Committee (IBC) is a committee established by the University for the review of recombinant DNA research, as specified and required by *NIH Guidelines*. Membership in IBC is by appointment by the Chancellor or by his/her designee. The Committee is registered with the NIH Office of Biotechnology Activities (OBA) by the University, and membership updates must be filed with OBA annually.



Certain types of experiments, including all human gene transfer studies, require prior IBC review and approval. Below are detailed responsibilities of the IBC:

- Reviewing recombinant DNA research conducted at or sponsored by the institution for compliance with the *NIH Guidelines* as specified in *Section III, Experiments Covered by the NIH Guidelines*, and approving those research projects that are found to conform with the *NIH Guidelines*. This review shall include: 1) independent assessment of the containment levels required by the *NIH Guidelines* for the proposed research; 2) assessment of the facilities, procedures, practices, training and expertise of personnel involved in recombinant DNA research; 3) ensuring that all aspects of guideline's *Appendix M* have been appropriately addressed by the Principal Investigator; 4) ensuring that no research participant is enrolled (see definition of enrollment in *NIH Guidelines Section I-E-7*) in a human gene transfer experiment until the *Recombinant DNA Advisory Committee (RAC)* review process has been completed (see *Appendix M-I-B, RAC Review Requirements*), Institutional Biosafety Committee approval (from the clinical trial site) has been obtained, and all applicable regulatory authorizations have been obtained; 5) for human gene transfer protocols selected for public RAC review and discussion, consideration of the issues raised and recommendations made as a result of this review and consideration of the Principal Investigator's response to the RAC recommendations; 6) ensuring that final IBC approval is granted only after the RAC review process has been completed (see *Appendix M-I-B, RAC Review Requirements*); and 7) ensuring compliance with all surveillance, data reporting, and adverse event reporting requirements set forth in the *NIH Guidelines (Section IV-B-2-b-1)*;
- Notifying the PI of the results of the IBC's review and approval (**Section IV-B-2-b-2**);
- Lowering containment levels for certain experiments as specified in *Section III-D-2-a, Experiments in which DNA from Risk Group 2, Risk Group 3, Risk Group 4, or Restricted Agents is Cloned into Nonpathogenic Prokaryotic or Lower Eukaryotic Host-Vector Systems (Section IV-B-2-b-3)*;
- Setting containment levels as specified in *Sections III D-4-b, Experiments Involving Whole Animals*, and *III-D-5, Experiments Involving Whole Plants (Section IV-B-2-b-4)*;

- Periodically reviewing recombinant DNA research conducted at the institution to ensure compliance with the *NIH Guidelines* (**Section IV-B-2-b-5**);
- Adopting emergency plans covering accidental spills and personnel contamination resulting from recombinant DNA research (**Section IV-B-2-b-6**);

{**Note:** The *Laboratory Safety Monograph* describes basic elements for developing specific procedures dealing with major spills of potentially hazardous materials in the laboratory, including information and references about decontamination and emergency plans. The NIH and the Centers for Disease Control and Prevention are available to provide consultation and direct assistance, if necessary, as posted in the *Laboratory Safety Monograph*. The institution shall cooperate with the state and local public health departments by reporting any significant research-related illness or accident that may be hazardous to the public health.}

- Reporting any significant problems with or violations of the *NIH Guidelines* and any significant research-related accidents or illnesses to the appropriate institutional official and NIH/OBA within 30 days, unless the Institutional Biosafety Committee determines that a report has already been filed by the PI. Reports to NIH/OBA shall be sent to the 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 of 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 Director of Facilities Management 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 Facilities Management 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 commensurate benefits for inventors and the University from commercial applications of University Research and apply funds accruing to the University from these applications to support 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 UA 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 cannot 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 ORSP will have the responsibility of ensuring that appropriate co-investigators are named in proposals submitted by adjunct faculty.

### **DRUG AND SMOKE 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 smoking and 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.

The implementation of the provisions of the *University Drug Free Workplace Policy*—as stated herein—represents the good faith effort of the University to continue to maintain a drug free workplace. Also, a copy of this policy will be

distributed to all current employees, inserted in employee handbooks, and given to each employee who will be engaged in work funded by a federal grant or contract. Employees who are found guilty, under this policy, of substance abuse violations are subject to existing University disciplinary action and personnel policies. The specific provisions of the policy are:

1. In compliance with the U.S. Congress Omnibus Anti-Drug Act of 1988, employees of the university are prohibited from the unlawful manufacture, distribution, dispensation, possession or use of controlled substances in the workplace.
2. A University employee must notify his/her department head or director (or other appropriate supervisor) in writing of any criminal drug statute conviction for a violation occurring in the workplace not later than five days statute conviction. The department head, director or supervisor of the employee shall immediately convey this information, through appropriate channels, to the vice chancellor to whom he or she reports
3. An employee who is convicted under any criminal drug status for a violation occurring in the workplace is required to successfully complete a drug counseling or rehabilitation program. Additional sanctions, including termination of employment, may be imposed for repeated convictions.
4. Adherence to the terms of this policy is condition of employment at the University and, in particular, of those engaged in work funded by a federal grant or contract.

The University of Arkansas at Pine Bluff Health Insurance Policy does cover alcohol and substance abuse treatment. Any person considering entering into a substance abuse program should contact the UAPB Office of Personnel to pre-approve coverage of the program.

### **CONFLICT OF INTEREST**

In compliance with federal regulations, UAPB maintains the following standards of conduct governing officers, employees, and/or agents engaged in the award/administration of contracts using federal funds. No employee, officer or agent



will participate in the selection, award, or administration of a contract where federal funds are used and/or, to his/her knowledge, any of the following has a financial interest in the contract:

- the employee, officer or agent
- any member of his/her immediate family;
- his or her partner;
- an organization with whom any of the above individuals is negotiating or has any arrangement concerning prospective employment.

Employees, officers and/or agents may neither solicit nor accept gratuities, favors or anything of monetary value from contractors or potential contractors. Violations of, or request for exceptions to, this policy will be reviewed by a committee appointed by the vice chancellor for academic affairs. If violations of these standards are found, officers, employees, and/or agents will be subject to disciplinary actions as recommended by the committee. Disciplinary actions may include a letter of reprimand, suspension, or termination of employment. The review process is to be completed within 30 days, with a written recommendation made to the Vice Chancellor for Academic Affairs at that time.

## **INVESTIGATOR FINANCIAL DISCLOSURE**

In circumstances when financial considerations may compromise or have the appearance of compromising an investigator's professional judgment and independence in the design, conduct, or publication of research, federal regulations require the University to manage, reduce, or eliminate any actual or potential conflicts of interest in covered federal programs. The University is required, therefore, to know what conflicts might exist. Thus, the University requires that

investigators disclose any significant interest that may present an actual or potential conflict of interest in a sponsored project.

## **Definitions**

**Investigator** – means principal investigator/project director, co-principal investigator, or any person at the University who is responsible for the design, conduct, or reporting of research/educational activities—funded or proposed for funding—by a covered federal agency.

**Conflict of Interest** – exists (actual or potential) when the reviewers reasonably determine that a significant financial interest could directly and significantly affect the design, conduct, and/or reporting of research or educational activities funded or proposed for funding.

**Significant Financial Interest** – means anything of monetary value to the investigator, his/her spouse, or dependent children—including but not limited to:

- salary or other payments for services—e.g. consulting fees or honoraria;
- equity interest—e.g. stocks, stock options or other ownership interests;
- intellectual property rights—e.g. patents, copyrights, and royalties for such rights.

The term does not include:

- salary, royalties, or other remuneration from the University;
- income from seminars, lectures, or teaching assignments sponsored by public or nonprofit entities;
- income from service on advisory committees or review panels for public or nonprofit entities;
- financial interest in business enterprises or entities if the value of such interests does not exceed \$10,000 or \$10,000/annum of salary, fee or other continuing payments; and if the value does not represent more than a 5% ownership interest for any one enterprise or entity when aggregated for the investigator and the investigator's spouse and dependent children.

## **Requirements**

1. Each investigator is required to read this policy;
2. Each investigator is required to disclose the following significant financial interests:

- a. any significant financial interest of the investigator that would reasonably appear to be directly and significantly affected by the research or educational activities funded, or proposed for funding, by an external sponsor; or
- b. any significant financial interest of the investigator in an entity whose financial interest or educational activities funded, or proposed for funding, by an external sponsor.

Regardless of the above minimum requirements, an investigator, for his/her own best interest, may choose to disclose any other financial or related interest that could present an actual conflict of interest. *Disclosure* is a key factor in protecting one's reputation and career from potentially embarrassing or harmful allegations of misconduct.

## **Procedures**

1. Each investigator must certify whether or not he/she has a conflict of interest on the [Internal Proposal Cover Sheet](#), which is completed for each application for external funding. In the event that a conflict of interest is indicated, the investigator with a conflict of interest must complete a [Financial Disclosure](#) form (**Appendix H**) and attach all required supporting documentation. The completed disclosure form must be submitted to ORSP. Supporting documentation that identifies the business enterprise or entity involved, and the nature and amount of the interest should be submitted in a sealed envelope marked "confidential".
2. As required by federal regulation, all financial interests must be disclosed *prior* to the time the proposal is submitted to the agency. If a new interest arises at any time after the proposal is submitted—including the entire period of the award—the investigator must file a new disclosure form within 14 days after becoming aware of a potential/actual conflict of interest.
3. If an investigator indicates there may be a potential conflict of interest covered by this policy, the *Disclosure Packet* will be referred to a committee established by the Vice Chancellor for Academic Affairs (Financial Disclosure Review Committee). Committee members are appointed for two-year periods and recommended by School deans. The director of ORSP will call the meeting together and serve as a nonvoting member. The investigator whose financial interests are to be discussed will be invited to the meeting but will not vote. In the event of a tie, the Vice Chancellor for Academic Affairs shall make the final decision.

4. Prior to consideration by the *Financial Disclosure Review Committee*, the investigator must develop and present to the committee a *resolution plan* that details proposed steps that will be taken to manage, reduce, or eliminate any actual or potential conflict of interest presented by a *Financial Interest Disclosure*. The Financial Disclosure Review Committee must review the resolution plan for approval with several possible outcomes. The Committee may approve the plan, reject the plan, or approve the plan with additional conditions or restrictions—including the following:

- modification of the research plan;
- disqualification from participation in all or a portion of the research funded;
- divestiture of significant financial interest; or
- severance of relationships that create actual or potential conflicts of interest

Investigators may revise and resubmit rejected resolution plans—as well as appeal the committee’s decision. The vice chancellor for academic affairs will make the final decision regarding resolution of appeals.

If the Committee determines that imposing the above referenced conditions or restrictions would be ineffective/inequitable, or that the potential negative impacts that may arise from a significant financial interest are outweighed by interests of scientific progress, technology transfer, or the public health and welfare, then, the Committee may recommend that the research go forward without imposing conditions or restrictions.

5. The approved Resolution Plan must detail the conditions of restriction imposed upon the investigator in the conduct of the project or in the relationship with business enterprises or entities. The plan must be signed by the investigator, the Committee chairperson, and the vice chancellor for academic affairs.

6. Actual or potential conflicts of interest, as shown on the Financial Disclosure form, must be satisfactorily managed, reduced, or eliminated in accordance with these guidelines prior to accepting an award, or they will be disclosed to the sponsoring agency. The Investigator must, therefore, notify the director for research *in writing* once all the conditions of the Resolution Plan have been met.

7. The director for research will notify the sponsoring agency if a resolution cannot be agreed upon or if a Resolution Plan has not been followed.

8. Records of the investigator’s financial disclosure and of action taken to manage actual or potential conflicts of interest, must be retained in the office of the director of research until three years after the latter or the termination or completion of the award to which they relate, or the resolution of any government action involving those records.

9. Whenever an investigator has violated this policy or the terms of the Resolution Plan, the Committee must recommend sanctions, which may include disciplinary action ranging from a public letter of reprimand to dismissal and termination of employment. If the violation results in a collateral proceeding under University policies regarding misconduct in science, the Committee must defer a decision on sanctions until the misconduct in science process is completed. The Committee's recommendation of sanctions is presented to the vice chancellor for academic affairs, who will enforce any disciplinary action.

## **RESEARCH AND GRANT INCENTIVE PLAN**

Faculty and non-classified staff members who hold full-time appointments and who are principal investigators on an externally funded grant/contract have the opportunity to participate in an Incentive Plan which provides a bonus to the successful principal investigator.

The purpose of the Incentive Plan is to enhance the research and scholarship of the faculty and staff and to increase the level of external funding to the university, while also contributing to the knowledge base and/or providing innovative interventions to advance the university, community, Arkansas Delta and the global society.

### **Guidelines**

Eligible participants for the Research and Grant Incentive Plan include tenured faculty, faculty on tenure tracks and non-classified staff with a full-time state-funded appointment.

Participation in the plan is voluntary and is not mandated upon either the faculty or non-classified staff member or the University. Title III (through Office of Development), Evans-Allen, and any other entitlement funded grants/contracts are excluded. Participation is not an entitlement but may be made available to eligible faculty or non-classified staff members when both the University and the faculty or non-classified staff member determine that it is in their mutual best interest to do so.

The faculty or non-classified staff member must exhibit satisfactory performance in all assigned duties as determined by his or her chair (or head) and dean. Included are the responsibilities for efficiency and effectiveness in meeting other university assigned duties. The university reserves the right to terminate from the program any faculty or non-classified staff who fails to uphold the grant/contract or university's requirements.

### **Criteria for Bonuses**

Bonuses will be awarded to Principal Investigators (PIs) who secure external grant contract funding for grants/contracts that have operated on campus for at least one year. For PIs that have grants funded for less than one year, the bonus amount will be prorated. Bonuses are contingent upon the amount of the grant award. Regardless of whether or not the grants generate indirect cost, PIs will be eligible for bonuses. When funded grants have Co-PIs, 50% of the 1% bonus will be given to the PI and the remaining 50% will be shared equally among the Co-PIs. Bonus percentages will be 1% of grant/contract awards of \$10,000 or more.

**Criteria for Indirect Cost Awards**

To further advance the expansion of research and innovative programs at the University of Arkansas at Pine Bluff, the University will award a portion of the indirect cost awarded to the generating PI, department, school and to the Division of Academic Affairs, the Division of Research, Innovation and Economic Development and the Office of the Chancellor. The remaining portion will be maintained by the Division of Finance and Administration for basic support (utilities, financial services, space, etc.) of the funded research/contract program.

The approved percentage distributions are as follows:

<b>Allocation</b>	<b>Entity</b>
40%	Vice Chancellor for Finance and Administration
35%	Vice Chancellor for Research, Innovation and Economic Development
10%	Principal Investigator
2.5%	Dean
5%	Generating Department
2.5%	Chancellor
5%	Vice Chancellor for Academic Affairs
<b>100%</b>	<b>Total Distribution</b>

\*The federally negotiated Indirect Cost Rate at the University of Arkansas at Pine Bluff is 59.4%.

The funds cannot be used for PI or Co-PI salaries. The disbursement of funds will be coordinated through the Office of Grants Accounting. The drawdown of allocations will occur in January and July of each calendar year.

## ABBREVIATIONS

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



# Appendix

Appendix A

**University of Arkansas at Pine Bluff**

**Intent to Submit A Proposal Form**

Check One: New \_\_\_\_\_ Continuation \_\_\_\_\_ Renewal \_\_\_\_\_

Grant Information Source (Please check one): ORSP Email ( ) Other ( )

---

Sponsor \_\_\_\_\_ Date to Mail \_\_\_\_\_

Project Title \_\_\_\_\_

Principal Investigator \_\_\_\_\_ Department \_\_\_\_\_

Category: Research \_\_\_\_\_ Training \_\_\_\_\_ Other \_\_\_\_\_

**First Year Budget Summary:**

	Reimbursement* & New Direct Cost	Matching Funds**
Salaries & Wages	_____	_____
Student Aid	_____	_____
Other Direct Costs	_____	_____
Indirect Cost	_____	_____
TOTAL (Year 1)	0.00	0.00
Total of Subsequent Years	_____	_____

Will additional space be required? No \_\_\_ Yes \_\_\_ Type/Location: \_\_\_\_\_

---

\*Will release time be requested? No \_\_\_ Yes \_\_\_ If yes, provide details below:

Name	Percentage	Fall/Spring

\*\*Are matching funds required? No \_\_\_ Yes \_\_\_ If yes, list source/(s) and \$ amount/(s):

<u>Source/(s)</u>	<u>\$ Amount</u>
_____	_____
_____	_____

Signature of PI \_\_\_\_\_ Date \_\_\_\_\_

Appendix B  
**University of Arkansas at Pine Bluff**  
**Office of Research and Sponsored Programs**  
**Internal Proposal Application Cover Sheet**

<b>Proposal Number</b>
Will be entered by ORSP

<b>DEADLINE:</b> _____	
<input type="checkbox"/> Receipt Date	<input type="checkbox"/> Postmark
<input type="checkbox"/> E-submission	

**Grant Information Source:**     ORSP email     Other

APPLICATION DATA	
<b>Title of Proposal:</b>	
<b>Sponsor Name:</b>	
<b>Sponsor Mailing Address:</b>	
<b>Phone:</b>	<b>CFDA #:</b>
<b>Project Beginning Date:</b>	<b>Project Ending Date:</b>

ABSTRACT

PRINCIPAL INVESTIGATOR DATA	
<b>Principal Investigator:</b>	
<b>Email:</b>	<b>Phone:</b>
<b>Dept:</b>	<b>School:</b>

PROPOSAL DATA		
<b>Type of Project</b> <input type="checkbox"/> New <input type="checkbox"/> Grant <input type="checkbox"/> Continuation <input type="checkbox"/> Cooperative Agreement <input type="checkbox"/> Contract	<b>Category of Project</b> <input type="checkbox"/> Research <input type="checkbox"/> Instruction <input type="checkbox"/> Public Service	<b>Type of Agency</b> <input type="checkbox"/> Federal <input type="checkbox"/> State <input type="checkbox"/> Other

COMPLIANCE DATA			
<b>Human Subjects</b> <input type="checkbox"/> Yes <input type="checkbox"/> No IRB Approval Date: _____ (Attach a copy of the approval letter) <input type="checkbox"/> Approval Pending <b>Laboratory Safety</b> <input type="checkbox"/> Yes <input type="checkbox"/> No	<b>Animal Subjects</b> <input type="checkbox"/> Yes <input type="checkbox"/> No IACUC Approval Date: _____ (Attach a copy of the approval letter) <input type="checkbox"/> Approval Pending <b>Hazardous Materials</b> <input type="checkbox"/> Yes <input type="checkbox"/> No	<b>Recombinant DNA</b> <input type="checkbox"/> Yes <input type="checkbox"/> No Biosafety Approval Date: _____ (Attach a copy of the approval letter) <input type="checkbox"/> Approval Pending <hr/> <th style="text-align: center; background-color: #cccccc;">INTELLECTUAL PROPERTY</th>	INTELLECTUAL PROPERTY
Involves Patent or Copyrights <input type="checkbox"/> Yes <input type="checkbox"/> No			

ACADEMIC AND ADMINISTRATION PROGRAM CHANGES	
Will this project involve the development and implementation of a new academic major, new academic degree, or new interdisciplinary arrangement? <input type="checkbox"/> Yes* <input type="checkbox"/> No	
Does this proposed project envision an advising or governing role for a project committee? <input type="checkbox"/> Yes* <input type="checkbox"/> No	
Is it anticipated that this project will create a new administrative unit? <input type="checkbox"/> Yes* <input type="checkbox"/> No	
*If Yes, attach a letter of explanation.	

**CONFLICT OF INTEREST CERTIFICATION**

**NEEDS AND OBLIGATIONS**

Based on the UAPB's Conflict of Interest policy, do you or any members of your family have external relationships that have the potential for a conflict of interest?

PI  Yes\*  No  
 Other  Yes\*  No

\* If Yes, please contact ORSP.

**Space and Equipment Needs**

Will space be required or altered for offices or equipment?  Yes\*  No

**Institutional Obligations**

After expiration, will UAPB be responsible for continuation of project?

Yes\*  No

\*If Yes to either question, please identify the University Officer responsible with a supporting letter from that officer.

**REQUESTED FUNDS FOR YEARS**

COST CATEGORY	1	2	3	4	5	Total
Salaries and Wages						\$0.00
Fringe Benefits						\$0.00
Travel						\$0.00
Equipment						\$0.00
Supplies						\$0.00
Contractual						\$0.00
Construction						\$0.00
Participant Costs						\$0.00
Other						\$0.00
<b>Total Direct Costs</b>	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
<b>Indirect Costs</b>						\$0.00
<b>TOTAL REQUESTED FUNDS</b>	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00

**DETAILED COST SHARE/MATCH (Cash and in-kind)**

Cost Category	Account #	1	2	3	4	5	Total
							\$0.00
							\$0.00
							\$0.00
							\$0.00
<b>TOTAL COST SHARING</b>		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00

Explain if UAPB's approved indirect cost rate is not used:

**Indirect Cost Rate:**

On campus - 59.4% of Salaries & Wages  
 Off campus - 19.6% of salaries and wages

**Fringe Benefit Rates:**

31% regular salaries                      Graduate 31%  
 31% extra help

**SIGNATURES**

COMMITMENTS OF RESOURCES MUST BE APPROVED BY ALL COGNIZANT UNIT HEADS.

Principal Investigator \_\_\_\_\_ Date \_\_\_\_\_

Vice Chancellor for Research and Innovation \_\_\_\_\_ Date \_\_\_\_\_

Department Head \_\_\_\_\_ Date \_\_\_\_\_

Vice Chancellor for Finance and Administration \_\_\_\_\_ Date \_\_\_\_\_

Dean of School \_\_\_\_\_ Date \_\_\_\_\_

Chancellor \_\_\_\_\_ Date \_\_\_\_\_

Director, Office of Research and Sponsored Programs \_\_\_\_\_ Date \_\_\_\_\_

## Appendix B

### University of Arkansas at Pine Bluff

#### Instructions for completing Internal Proposal Application Cover Sheet

*The Proposal Application Cover Sheet is required for all proposal applications to seek off-campus funds. All the necessary signatures should be obtained prior to sending the proposal to the funding agency. Please follow the instructions below when you complete the form.*

**1. The box in the left top corner.**

Deadline: Enter application deadline, and check off whether the deadline is by the Receipt Date or Postmark. If the proposal should be submitted electronically, check off "E-submission".

**2. The box in the top right corner.**

**Proposal Number.** This number will be entered by ORSP and will be based on the proposal number in the ORSP Proposal/Grant Database.

**3. Application Data.**

Enter the title of the proposal, the name of the sponsoring agency, its mailing address and phone number. Specify project beginning and ending dates. For federally funded programs enter CFDA (Category of Federal Domestic Assistance) number. If you cannot locate the CFDA number in the call for proposals, leave it blank. ORSP will enter this number during the proposal review.

**4. Abstract.**

Briefly describe the project which will be submitted to the sponsoring agency for funding.

**5. Principal Investigator Data.**

Enter the name of the Principal Investigator, the email address, the phone number, the department number, and the school.

**6. Proposal Data – Type of Project.**

- a) New or Continuation: Specify whether this is a new project or continuation of a project that is currently receiving sponsored funding.
- b) Grant, Cooperative Agreement or Contract: Check off whether the funding will be in the form of a grant, a cooperative agreement, or a contract, if the call for proposal provides this information; otherwise, do not check.

**7. Proposal Data – Category of Project.**

Check off whether the project will be in the area of Research, Instruction, or Public Service.

**8. Proposal Data – Type of Agency.**

Specify whether the funding agency is federal, state, or other.

**9. Compliance Data.**

Please choose appropriate answers ("Yes" or "No") to indicate whether the project will involve human subjects, animal subjects, recombinant DNA, laboratory safety issues and hazardous materials. For projects that involve human subjects, animal subjects or recombinant DNA, provide approval date and attach a copy of the approval letter from the appropriate institutional committee. If the proposal is still under review, please check off *Approval Pending*.

## **10. Intellectual Property.**

Please choose an appropriate answer (“Yes” or “No”) as to whether the project will involve Patent or Copyright.

## **11. Academic and Administration Program Changes.**

Please choose appropriate answers (“Yes” or “No”) to the three questions in this section. If the answer is “Yes” to any of these questions, please attach a letter of explanation to your proposal.

## **12. Conflict of Interest Certification.**

Please choose appropriate answers (“Yes” or “No”) regarding the existence of the conflict of interest. If any of the answers is “Yes”, please contact ORSP. You will be required to complete the form “Disclosure of Financial Interests”.

## **13. Needs and Obligations.**

Please choose appropriate answers (“Yes” or “No”) to the two questions in this section regarding Space and Equipment Needs and Institutional Obligations. If the answer is “Yes” to either one or both of the questions, please identify the UAPB officer(s) responsible for the subject matter and attach a letter from that officer or officers to your proposal.

## **14. Requested Funds for Years.**

Please provide budget breakdown by years of funding for the amounts requested from the agency.

## **15. Detailed Cost Share/Match.**

If cost share/matching is included in your proposal, please provide a budget breakdown for the matching amounts. Specify the UAPB account from which the matching funds will come. For in-kind match (tuition waivers, donated services of volunteers or employees of other organizations, third party in-kind contributions, etc.), the account number is not needed. Please note that UAPB discourages matching beyond the minimum agency requirement.

## **16. Explain if UAPB’s approved indirect cost rate is not used.**

UAPB’s approved indirect cost rate (also known as Facilities & Administration rate or F&A rate) is shown in the box next to this section. If indirect costs are not included in the budget, or if the rate to calculate indirect costs is different from UAPB’s approved indirect cost rate, please provide an explanation.

## **17. Signatures.**

Please obtain all the necessary signatures before submitting the proposal to the funding agency.

**University of Arkansas at Pine Bluff  
Value of Donated Labor  
Time Sheet**

Award Name:					
Award Account Number:					
Name of Organization/Individual Contributing Time:					
Type of Work Performed:					
Hourly Rate for Valuation of Services:					
<p>The hourly rate is calculated at \$17.19 hr unless volunteers are professionally skilled in the work they are performing on the project (i.e., teacher doing work in education, grant administrator organizing volunteers). When this is the case, the wage rate is based on the rate paid for performing a similar service. Use minimum wage (\$6.25) for students. For classroom participation list name of class and number of students.</p>					
<b>Date</b>	<b>Job Description</b>	<b>Number of Volunteers</b>	<b>Number of Hours Worked</b>	<b>Hourly Rate for Valuation</b>	<b>Total</b>
					0.00
					0.00
					0.00
					0.00
					0.00
					0.00
					0.00
					0.00
					0.00
					0.00
					0.00
					0.00
					0.00
					0.00
<b>Total Value of Donated Time</b>					<b>\$0.00</b>

Signature of Project Investigator \_\_\_\_\_

Date \_\_\_\_\_

## University of Arkansas at Pine Bluff Value of Equipment Donated by a Third Party

Award Name:							
Award Account Number:							
Donor(s)							
Date of Donation	Type & Size of Equipment	Total Hours of Use	Hourly Rate	Value of Donation	Signature of Equipment Operator		
				0.00			
				0.00			
				0.00			
				0.00			
				0.00			
				0.00			
				0.00			
				0.00			
				0.00			
				0.00			
				0.00			
				0.00			
				0.00			
				0.00			
Total Value of Donation				\$0.00			

Name of Verifying Official \_\_\_\_\_  
 Title of Verifying Official \_\_\_\_\_

Verifying Official's Signature \_\_\_\_\_  
 Date \_\_\_\_\_





Appendix D

**Award Close Out Routing Form**

P.I. Name \_\_\_\_\_

Project Title: \_\_\_\_\_

GL Account #: \_\_\_\_\_ Award Period: \_\_\_\_\_

---

---

**PRINCIPAL INVESTIGATOR:**

Final Progress Report submitted on \_\_\_\_\_

Other reports due to the agency (mark one): \_\_\_\_\_ None required Submitted on

Signature \_\_\_\_\_ Date \_\_\_\_\_

---

---

**ORSP REVIEW:**

Final Financial Report submitted on \_\_\_\_\_

**Information from GLTB:**

Cash balance equals zero (11010)

No outstanding "due to" (18110)

No outstanding receivables (13150)

GLTB closing balance equals zero

**Information from GLSA:**

No outstanding encumbrances

Budget equals Actual, zero Available

Initials \_\_\_\_\_ Date \_\_\_\_\_

---

---

**CONTROLLER'S OFFICE:**

Account frozen in Colleague: \_\_\_\_\_

Initials \_\_\_\_\_ Date \_\_\_\_\_

Comments:

**Please return this form to Grants Accounting, Mail Slot 4984 or Fax x4612.**

Appendix E

UNIVERSITY OF ARKANSAS AT PINE BLUFF  
INTERNAL CONCURRENT EMPLOYMENT REQUEST

Name: \_\_\_\_\_ Employee ID: \_\_\_\_\_

Primary Authorized Title: \_\_\_\_\_ Grade (Classified Only): \_\_\_\_\_ FLSA Status \_\_\_\_\_  
E or N

Requesting Department (if \_\_\_\_\_

Requesting State Employer (if not UAPI \_\_\_\_\_

State Authorized Concurrent \_\_\_\_\_ Total Amount to be Paid: \_\_\_\_\_

Period of Concurrent Employment: From: \_\_\_\_\_ To: \_\_\_\_\_

Dates and times:

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Description of Duties to be Performed:

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Concurrent Employment Approval: (Primary Department)

_____	_____	_____
Signature of Dean/Department Chair/Director	Department	Date
_____	_____	_____
Signature of Vice Chancellor	Division	Date

APPROVALS: (Funding Department)

_____	_____	_____
Chair/Supervisor	Department	Date
_____	_____	_____
Dean/Director	School/Unit	Date
_____	_____	_____
Vice Chancellor	Division	Date
_____	_____	_____
Chancellor		Date

HR: _____	Date Received: _____	Date State form forwarded to OPM: _____
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## HUMAN SUBJECTS PROTOCOL SUBMISSION CHECKLIST

1. **Cover Letter** \_\_\_\_\_
2. **Proposal Cover Page** \_\_\_\_\_
3. **Abstract** \_\_\_\_\_
4. **Detailed Human Protocols** \_\_\_\_\_
5. **Any Survey Instruments Used in the Study\*** \_\_\_\_\_
6. **Potential Risk Statement** \_\_\_\_\_
7. **Compensation Mechanism for Participants** \_\_\_\_\_
8. **Collaboration/Consultant Mechanism\*** \_\_\_\_\_
9. **Letters from Consultants/Collaborators\*** \_\_\_\_\_
10. **Steps Taken to Minimize Risk to Human Subjects\*** \_\_\_\_\_
11. **Justification for Substantial Risk\*** \_\_\_\_\_
12. **Methods of Obtaining Confidential Records\*** \_\_\_\_\_
13. **Methods Used to Maintain Confidentiality\*** \_\_\_\_\_
14. **Proof of Completion of *CITI Training in the Protection of Human Research Subjects*** \_\_\_\_\_

\*if applicable

(See accompanying instructions.)

Note: If not already completed, individuals conducting research involving human subjects are required to complete the *online* CITI Training Program within three months from the beginning of the project ([www.citiprogram.org](http://www.citiprogram.org)).

**Submit to:** **Chairperson  
Human Subjects Committee  
Caine-Gilleland Hall, Suite 339, Rm. 337  
University of Arkansas at Pine Bluff**

**Contact Person:** **Chairperson, Human Subjects Committee**

**Phone:** **575-8894**

UNIVERSITY OF ARKANSAS AT PINE BLUFF

RESET

The Human Subjects Committee (HSC)/Institutional Review Board (IRB) reviews the protocols to determine whether or not the study poses a **significant risk** to the participants involved in the study. Significant risk involves the potential of physical, emotional or reputational harm to the participants. If the PI feels that his or her research study carries a significant risk to the participants involved in the study, he or she must indicate so in the **Potential Risk Statement** and address items 10 and 11 listed on checklist. Projects which carry significant risk will only be approved if evidence is presented indicating the benefits of the project outweigh the risks.

### **Collaborative Projects**

In the case of collaborative projects, the details of the collaboration must be included. This would include names, titles and positions of collaborators, and a thorough description of their roles on the project. Letters of support from those collaborators must also be included. The above procedure is also required for consultants involved with the project. All work involving human subjects which is done on the UAPB campus must be approved by the university's HSC/IRB. If part of the project involves research involving human subjects performed at another institution, that work must also be approved by the HSC/IRB at that institution. Also, HSC/IRB must be notified concerning what steps have been taken to obtain HSC/IRB review at that institution.

### **Health-Related Protocols**

Health-related protocols would include studies which examine body fluids or tissues or involve exercise regimens or special diets. **In these cases, HSC/IRB requires that a licensed physician be included as a consultant.**

### **Confidential Records**

Confidential records include medical records, employment records, police records, credit records and academic records. For all studies involving confidential records, HSC requires the PI to clearly indicate **how** these records will be obtained and comments on the **legality** of the methods used to obtain these records. Also, the method used to maintain confidentiality must be clearly described.

### **Studies Involving Survey Instruments**

The major concern in studies of this nature is questions of a sensitive or potentially incriminating nature. Such questions would include questions related to sexual practices, drug or alcohol use, illegal practices, criminal records or credit history. In projects containing studies of this type, **the PI must submit copies of all survey instruments used in the study to HSC/IRB.** This applies to both written and oral surveys.

### **Compensation**

The Human Subjects Committee requires that all human subjects involved in research studies be justly compensated for their time and effort on the project. The degree of compensation should be commensurate with the time and effort involved. The only exceptions would include projects involving a minimum of time and effort, and projects in which the participants receive a clear benefit from the study. **A description of the mechanism by which all human subjects involved in the project will be compensated must be included in the protocols.** If the PI feels that his or her project meets one of the criteria listed to waive compensation, he or she must submit a **justification statement** explaining why the project meets these criteria.

Appendix G

**APPLICATION FOR USE OF VERTEBRATES FOR RESEARCH, TEACHING  
OR DEMONSTRATION**

**UNIVERSITY OF ARKANSAS AT PINE BLUFF, PINE BLUFF, ARKANSAS**

IACUC APPLICATION # \_\_\_\_\_

**INSTRUCTION: Please fill out completely.**

DATE FILED \_\_\_\_\_

INVESTIGATOR/INSTRUCTOR \_\_\_\_\_

ADDITIONAL CONTACT PERSONS \_\_\_\_\_

DEPT. \_\_\_\_\_ CAMPUS WHERE RESEARCH IS CONDUCTED \_\_\_\_\_

MAIL BOX # \_\_\_\_\_ DATE PROJECT IS TO BE STARTED \_\_\_\_\_

PHONE \_\_\_\_\_

TITLE OF PROJECT: (If project relates to a grant application, give that title.) \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_

**Check One:**

Initial Review \_\_\_\_\_  
Continuation \_\_\_\_\_  
Competing Renewal \_\_\_\_\_

**Check One:**

Full Grant \_\_\_\_\_  
Pilot Project \_\_\_\_\_

Funding Agency/Source:

\_\_\_\_\_

- I. A. ABSTRACT OF PLANNED USE OF ANIMAL:** Write a brief yet complete description of the planned use of animals, including procedures, in your research project (use additional pages, if necessary).

Appendix H

UNIVERSITY OF ARKANSAS AT PINE BLUFF
DISCLOSURE OF FINANCIAL INTERESTS RELATED TO SPONSORED PROJECTS
COVER SHEET

Name \_\_\_\_\_

Sponsor \_\_\_\_\_

Project Title \_\_\_\_\_

Your Position on Project: \_\_\_\_\_PI \_\_\_\_\_X Co-PI \_\_\_\_\_Other

Do you, your spouse, or dependent children, have any financial interests related to the work to be conducted under the sponsored project? (See instructions for complete description of "financial interest" and "financial interest related to a sponsored project") \_\_\_\_\_Yes \_\_\_\_\_No

If the answer NO (Signature is required) \_\_\_\_\_
Signature

If yes, list below the name of each entity in which you have a related financial interest and attach a separate DESCRIPTION OF FINANCIAL INTEREST for each entity.

Four sets of horizontal lines for listing entities and their financial interests.

I certify that the above is a complete listing of all financial interests related to the sponsored project(s). I understand that this Disclosure is a public document.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

ACTION OR REVIEWING OFFICIAL

\_\_\_\_\_ No further review required. (Sponsored project will not reasonably be expected to have a direct and significant impact on these financial interests, such that the financial interest could affect the design, conduct, or reporting of the project.)

\_\_\_\_\_X Refer to the Vice Chancellor for Academic Affairs for further review. (Sponsored project may reasonably be expected to have a direct and significant impact on these financial interests, such that the financial interest could affect the design, conduct, or reporting of the project. Further review required.)

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

Provision of the information on this form is mandatory for any person who wishes to be an investigator on a sponsored project. The information may be released to sponsoring agency personnel or members of the public upon request. The principal purpose of collecting this information is to comply with federal regulations and the University policy on Disclosure of Financial Interests Related to Sponsored Projects. For further information about the Policy and use of the information, contact the Office of Research and Sponsored Programs at 575-8054.