



Research & Grants

GUIDELINES FOR FACULTY GRANT PROPOSALS AND CONTRACTS

Including
OUTREACH CENTERS AND CONTINUING
EDUCATION CONTRACTS

Research & Grants Administration
OFFICE OF ACADEMIC AFFAIRS
ROBERT MORRIS UNIVERSITY

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Contents

1. Faculty Research, Scholarly and Creative Activity Support	3
1.1. Research & Grants Administration (R&GA)	3
2. The Grant Proposal Process	4
2.1. The Principal Investigator (or Project Director) and Role	4
2.2. The Formal Proposal Development Process	4
2.3. Process Summary	4
2.4. Business Affairs	7
2.5. R&GA Review	7
2.6. Proposal Submission	8
2.7. Funded Proposals	8
3. Proposal Budgets	9
3.1. Salaries and Wages	9
3.1.1. Faculty Members' Salary	10
3.1.2. Undergraduate and Graduate Research Assistants	12
3.1.3. Other Professionals' Compensation	13
3.2. Fringe Benefits	14
4. Research Involving Human Subjects (The IRB process)	17
4.1. Exempt Research	17
4.2. Research Covered by Human Subject Protection	17
4.3. Expedited Review	18
4.4. Informed Consent	18
5. Intellectual Property	19
6. In-Kind Gifts and Transfers of Property	20
7. Contract Research, Training and Continuing Education	21
7.1. Salaries and Wages	21
7.1.1. Faculty and Faculty Administrators	21
7.1.2. Undergraduate and Graduate Students	22
7.1.3. Professional and Technical Staff	22
7.2. Fringe Benefits	22
7.3. Indirect Costs and Distribution of Funds	22
7.4. Process for Research, Training and Continuing Education Contracts	22
APPENDIX A: ACCOUNT DESCRIPTIONS	23
APPENDIX B: GRANT COMPENSATION POLICIES	27

1. Faculty Research, Scholarly and Creative Activity Support

Faculty engaged in the development of new knowledge make important contributions to our community. The University is committed to the full support of faculty engaged in research, scholarly and creative activity. The Research & Grants Administration (Academic Affairs) and Business Affairs both provide support to faculty engaged in research, scholarly and creative activity including assistance in seeking internal and external funding. Such support includes but not limited to information on grant opportunities, assistance with proposal development, and other help that may be needed by the faculty.

1.1. Research & Grants Administration (R&GA)

The Research & Grants Administration (Academic Affairs) has administrative responsibility for relationships between sponsoring/ funding agencies and Robert Morris University. The Research & Grants Administration (Academic Affairs) promotes the educational objectives of Robert Morris University by encouraging, facilitating and fostering research in the School of Business (SBUS), School of Communications and Information Systems (SCIS), School of Education and Social Sciences (SESS), School of Engineering, Mathematics and Science (SEMS), School of Nursing and Health Sciences (SNHS), Library, and all other University programs. The RG&A and Business Affairs provide pre-award and post-award services:

Pre-Award Services: Pre-Award services include:

- Forwarding of announcements about Requests for Proposals (RFP) or making it available in the Research & Grants home page research.rmu.edu
- Guidance for proposal preparation in accordance with RFP guidelines
- Guidance for budget assistance
- Guidance for proposal submission to sponsoring/funding agencies
- Communication and negotiation with sponsoring/funding agencies when appropriate
- Maintaining a faculty expertise database
- Maintaining a website for faculty research and scholarly activities
- Offering proposal development workshops

Post-Award Services: Post-Award Services include:

- Liaison between the sponsoring/ funding agency and individual principal investigator(s)
- Project budget reports
- Guidance for project related progress reports and final reports
- Maintenance of a project database that includes project number, granting agency contact information, project milestones and deadlines
- Other project related services as may be requested by sponsoring/funding agencies or faculty

In addition, Business Affairs provides the following services:

- Fiscal administration of projects
- Establishment of accounts for financial transactions
- Purchasing, personnel and payroll
- Preparation of financial reports to sponsoring agencies
- Compliance Verification

2. The Grant Proposal Process

The funding proposal process is intended to be a collegial endeavor with full University support. Early and frequent informal communication among prospective principal investigators, academic administrators and the RG&A and Business Affairs can help enrich the proposal development process, enhance the opportunity for success, and will help ease some of the principal investigator's administrative burdens during the research. In addition, some research may require Institutional Review Board (IRB) approval prior to the submission of requests for funding. The R&GA can also assist principal investigators with the IRB review process.

2.1. The Principal Investigator (or Project Director) and Role

A Principal Investigator is the primary individual responsible for the preparation, conduct, and administration of a research grant or other sponsored project in compliance with applicable laws and regulations and institutional policy governing the conduct of sponsored research.

A Principal Investigator must participate to a significant intellectual degree in a sponsored project, bears primary responsibility for all essential aspects of work being carried out, may delegate tasks to business and support staff; but is ultimately responsible for project.

2.2. The Formal Proposal Development Process

The formal part of the University's internal process begins with the Principal Investigator (or Principal Director) sending an email with subject line "Intention to Apply" to his/her Department Head and Dean with the following contents (body of email or as attachments):

- Brief Project Summary
- Funding Agency & submission Deadline
- Project Timeline
- Potential Impact on University Responsibility
- Request for Proposal (RFP or solicitation). A valid link would be sufficient.

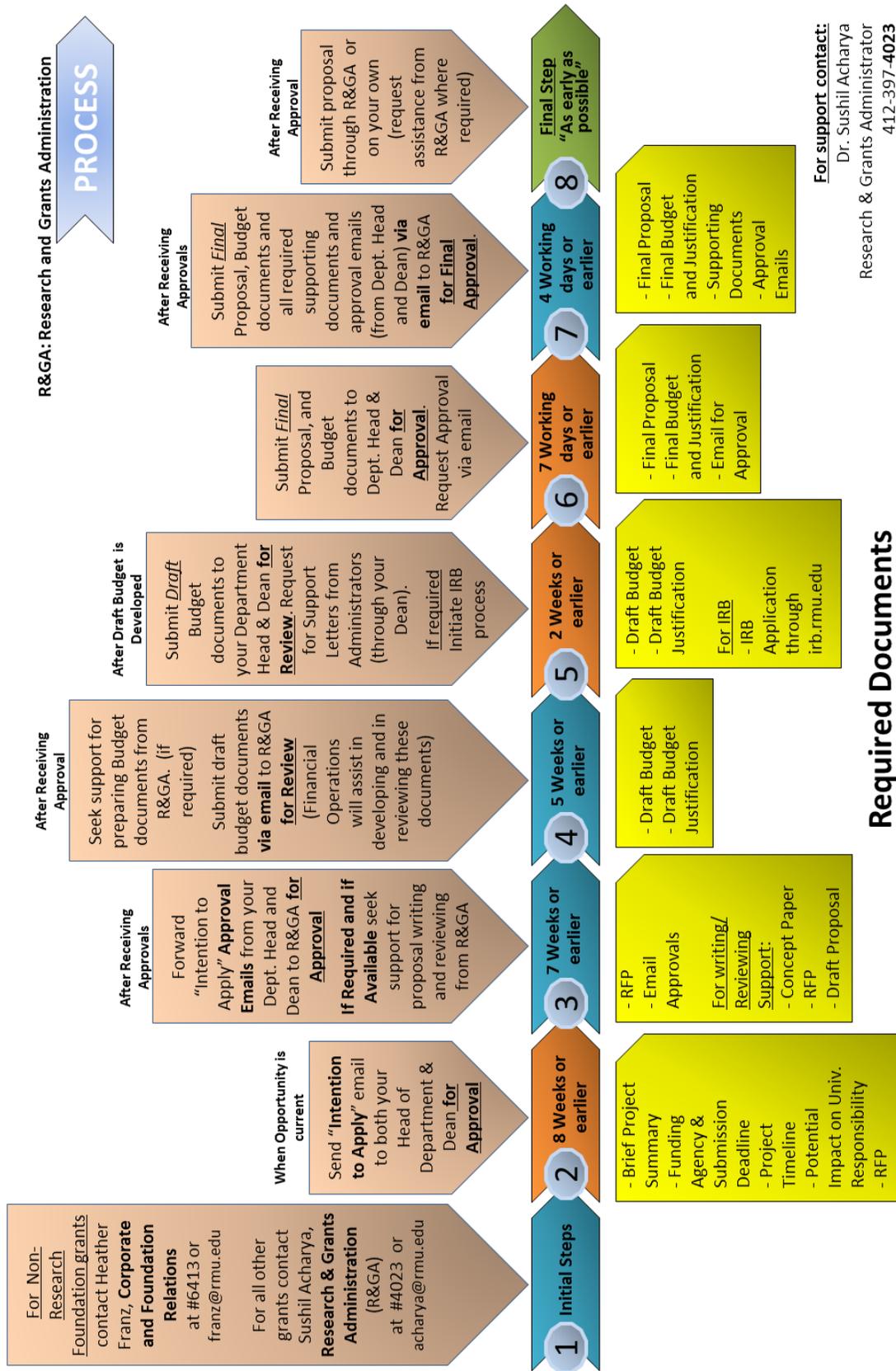
Once the Department Head and the Dean both approve the "intention to apply" email the Principal Investigator (or Project Director) should forward the email Research & Grants Administration with all of the above documentation for review and approval. At this time the R&GA will commit resources to assist the Principal Investigator (or Project Director) in developing a compelling proposal.

2.3. Process Summary

Figure 2.1 describes the process for grant proposal development and submission:

Research Grant Proposal Development and Submission Process

8 Steps to a Successful Submission



For support contact:
 Dr. Sushil Acharya
 Research & Grants Administrator
 412-397-4023
 acharya@rmu.edu

Required Documents

The process is also summarized in Table 2.1.

Table 2.1: Research Grant Proposal Development and Submission Process

Timeline	Action	Include
8 weeks or earlier	Send “Intention to Apply” email to both Department Head and the Dean for Approval.	<ul style="list-style-type: none"> - Brief Project Summary - Funding Agency & Submission Deadline - Project Timeline - Potential Impact on Univ. Responsibility - RFP
7 weeks or earlier	Forward “Intention to Apply” Approval Emails from your Dept. Head and Dean to R&GA at acharya@rmu.edu <u>for Approval</u> . If Required and if Available seek support for proposal writing, reviewing from R&GA. Include:	<ul style="list-style-type: none"> - RFP - Email Approvals <p><u>For writing/ Reviewing Support:</u></p> <ul style="list-style-type: none"> - Concept Paper - RFP - Draft Proposal
5 weeks or earlier	Seek support for preparing Budget documents from R&GA. (if required) Submit draft budget documents via email to R&GA <u>for Review</u> (Financial Operations will assist in developing and in reviewing these documents)	<ul style="list-style-type: none"> - Draft Budget - Draft Budget Justification
2 weeks or earlier	Submit <u>Draft</u> Budget documents to your Department Head & Dean <u>for Review</u> . Request for Support Letters from Administrators (through your Dean). <u>If required</u> Initiate IRB process	<ul style="list-style-type: none"> - Draft Budget - Draft Budget Justification <p><u>For IRB</u></p> <ul style="list-style-type: none"> - IRB Application through - irb.rmu.edu
7 working days or earlier	Submit <u>Final</u> Proposal, and Budget documents to Dept. Head & Dean <u>for Approval</u> . Request Approval via email	<ul style="list-style-type: none"> - Final Proposal - Final Budget and Justification - Email for Approval
4 working days or earlier	Submit <u>Final</u> Proposal, Budget documents and all required supporting documents and approval emails (from Dept. Head and Dean) via email to R&GA <u>for Approval</u> .	<ul style="list-style-type: none"> - Final Proposal - Final Budget and Justification - Supporting Documents - Approval Emails
3 working days or earlier	<u>Final Step</u> Submit proposal through R&GA or on your own (request assistance from R&GA where required)	<ul style="list-style-type: none"> - All documents required by the grant agency

Note: Research & Grants Administration understands that some grant opportunities have very less lead time between identification and deadline. R&GA will do its best to accommodate such timelines provided all involved do their part. **Expedited review will be accommodated for grants having simple budget.**

2.4. Business Affairs

On the request of the R&GA, Business Affairs will assist the Principal Investigator in developing the Budget & Budget Narrative. Business Affairs will also review the proposal prior to final approvals. Business Affairs will review the proposed budget for:

- Consistency of the proposed budget with the RFP
- Reasonableness of assumptions
- Correctness (the math works)
- Consistency with the University's internal policies (salaries and wages, fringe benefits, indirect cost rates)
- Any University contributions (cash or in kind) have been approved by the appropriate people
- Whether we can provide the financial information the granting agency wants, both in the application and in interim and financial reports

In order to provide adequate time, budget preparation needs to start **5 weeks** prior to proposal submission deadline. In order to accommodate holiday and vacation work schedules, budget preparation needs to start **7 weeks** prior to the proposal submission deadline when the work is take to place over holidays or the summer.

2.5. R&GA Review

During the course of proposal development the Principal Investigator will be sharing documents with R&GA and Business Affairs. At this time multiple iterations of the budget and budget narrative may also be reviewed. After all documents are ready and after the Department Head and Dean have approved the documents R&GA will perform a final review of the document. In order to provide adequate time for a quality review, and to facilitate comments and revisions, the proposal documentation needs to be submitted to the Research Grants Administration 4 working days prior to proposal submission deadline provided the Budget and Budget narrative have already been approved by the RG&A. If the Budget and Budget narrative have not been approved then proposal documents needs to be submitted at least **three weeks** before the submission deadline

During the fall and spring semesters, R&GA and Business Affairs will provide an initial review of the proposal and budget within **one week** of the initial submission. If the review occurs over the summer or during extended holidays, R&GA and Business Affairs will provide an initial review within **two weeks** of the initial submission. Business Affairs may forward comments regarding the proposed budget directly to the principal investigator or through the Research & Grants Administration.

2.6. Proposal Submission

The principal investigator will be responsible for making final changes to the proposal and the budget (and budget narrative), for obtaining necessary final approvals from the Department Head, the Dean, and Research and Grants and the Financial Operations (evidenced by signatures on the Research Proposal Process Form) for submission four working days before the deadline. Upon final approvals, the proposal will be submitted to the sponsoring/funding agency by the Principal Investigator or by the R&GA.

2.7. Funded Proposals

If the proposal is funded

1. The Research & Grants Administration (Academic Affairs) will distribute a copy of the award notification letter to the principal investigator(s), the Department Heads, the Deans, and Business Affairs. In addition the news will be shared with the campus community via email.
2. The Research & Grants Administration (Academic Affairs) convenes the initial project meeting with the PI and Business Affairs.
3. Business Affairs creates accounts (in UNIT4), tracks grant expenditures, indirect costs and salary release reimbursement allocations, and reports quarterly to PI on budget expenditures. At any time during the project duration the PI can also use UNIT4 to generate project reports.
4. The PI prepares draft of progress reports and final reports and submits them to the sponsoring/funding agency. If the agency requires an RMU designee to submit the reports then the PI will forwards them to the RMU designee for submission to the sponsoring/funding agency.
5. Business Affairs prepares financial reports and forwards them to the PI every quarter. On request Business Affairs can make the reports available to Research & Grants Administration, the Department Heads and Deans.

3. Proposal Budgets

The proposal budget is a crucial part of the funding process. Decisions made during the development of the budget have important implications for the proposed activity. The University has adopted a number of guidelines that will be helpful in the budgeting process. Account descriptions are provided in Appendix B to guide with the budget preparation.

This section provides information and guidance for preparing research proposal budgets including salaries and wages, fringe benefit rates, indirect cost rates, and matching funds/cost sharing.

Note: Do not be overwhelmed with the details and the work that goes into preparing a proposal budget. If requested Research & Grants Administration and Business Affairs will assist you in this process.

3.1. Salaries and Wages

In general, faculty and faculty administrators (collectively, “faculty members”) engaged in funded research cannot receive compensation in excess of their contracted salary rates. In addition, the University will not seek salary reimbursement for an amount exceeding actual faculty salary payments. This principle also applies to summer salary: faculty members' (and administrators') compensation received during the summer through grant funded research may not exceed the monthly compensation they receive during the academic year. For purposes of this section, salary includes both teaching salary and stipends for administrative work.

Faculty and faculty administrators may receive additional compensation for (and sponsoring/funding agencies may be asked to reimburse) funded research and scholarly activity that will be carried out in addition to and at times that would not normally be part of the administrators' workload or work days (e.g., evenings, weekends, holidays or vacation days). The compensation for this activity will be fixed on a case-by-case basis and will be subject to approval by the Provost and Senior Vice President for Academic Affairs. Grant Compensation Policy is described with an example in Appendix C.

For purposes of determining funding, there are three different categories of individuals:

1. Faculty and Faculty Administrators
2. Undergraduate and Graduate Research Assistants
3. Other Professionals.

Salary and wage reimbursement for each is described in the following subsections.

Warning: During the budget preparation stages personnel salary details may be visible to the project team. While the R&GA and Business Affairs will do their best not to share such details the non-disclosures of such information cannot be guaranteed.

3.1.1. Faculty Members' Salary

There are three types of faculty and faculty administrators (called faculty members in this section) with different performance periods based on the performance times specified in their contracts:

1. **Faculty members who are on nine-month contracts:** These faculty members do not have any special administrative assignments. The academic year performance period for these faculty members is September 1st through May 31st. The summer performance period for these faculty members is June 1st through August 31st
2. **Faculty Administrators who are on nine-month contracts but have special administrative assignments:** Their performance period is also September 1st through May 31st. The summer performance period for these faculty members is June 1st through August 31st.
3. **Faculty Administrators who are on twelve-month contracts:** The performance period for them is June 1st – May 31st

The following steps should be used to compute funding agency reimbursement for release time for each faculty member who will provide grant funded services – for each performance period during the research or scholarly activity:

1. Determine whether the faculty member's contract is 9 or 12 months
2. Calculate the faculty member's monthly salary based on the faculty member's contract period. Define this as the "monthly salary" amount, "**S**"
3. Determine the number of months in the performance period. Define this as "**M**". For faculty administrators on a 12 month contract who will be providing services for the full year $M=12$. For faculty members on nine month contracts who will be providing services during the entire academic year $M=9$. For nine month contract faculty members who provide services during the fall semester only or during the spring semester only $M=4.5$. For faculty members on nine month contracts who provide services during the entire summer $M=3$
4. For each project time period, determine the proportion of the faculty member's time that will be involved in the funded research or scholarship. This is called Percent Effort in Project Period. Define this proportion as "**P**".
5. Compute the amount "**A**" of grant funded reimbursement for faculty member's salary for each project time period by multiplying the monthly base salary "**S**" by the number of months in the project period "**M**" by the proportion of the faculty member's time "**P**". Thus:

$$A = S * M * P \text{ -- for each project time period.}$$

6. The total salary release reimbursement for a particular faculty member during a research project or scholarly activity will be the sum of specific amounts for the faculty member for all the time periods included in the research project¹.

For example, consider the following details for a faculty member:

1. Contract Period:	9 months
2. Base Salary:	\$54,000
3. Project Effort during Academic Year:	50%
3. Project Effort during Summer:	100%

Then the calculations would proceed as following:

Monthly Salary (S)	Performance Period		Percent Effort in Project Period	
	Academic Year (M)	Summer (M)	Acad (P)	Sum (P)
6,000	9	3	50%	100%

Salary		
Acad (M)	Sum (M)	Total
27,000	18,000	45,000

Note: As salary details are confidential the Business affairs will provide the calculations for the project team if M and P are provided by the PI.

Requests for salary and administrative stipend reimbursement for multi-year research and scholarly activity will include an estimate for annual salary and administrative stipend increases using an annual increase percentage of **4.0%** (Annual Inflation) according to the RMU Faculty Contract.

¹ For example, consider a faculty member who has a nine month contract (N=9) for \$54,000 per year (B=\$54,000) who provides 50% effort to the funded research project during the academic year and 100% effort for three months in the following summer. The faculty member would receive workload reduction for two courses each semester to perform the research and would conduct the research full time during the summer. The monthly base salary (S) for the faculty member would be \$6000 (S = \$54,000/9). There would be two project time periods, the academic year where M=9 and the summer where M=3. The proportion of effort (P) during the academic year would be 0.5 and during the summer would be 1.0. The salary release reimbursement requested for the academic year (A) would be S*M*P = \$6000*9*0.5 or \$27,000 and the amount requested for the summer would be S*M*P = \$6,000*3*1.0=\$18,000. The total amount of grant funded reimbursement for this faculty member would be \$27,000 + \$18,000 = \$45,000.

The percentage of the faculty member's total time that is devoted to research or scholarly activity during each project time period is used to establish both workload (usually course teaching) reductions and to define the amount of reimbursement that will be sought from sponsoring/funding agencies. The "Percent Effort in Project Period" (*P*) that falls into the academic year on a grant is referred to as the "Faculty Release Time Reimbursement" (**FRRT**). The FRRT is used in determination of course reduction based on the following guidelines:

- At least 25.0% Effort in Academic Semester but less than 50% = One (3 credits) course reduction
- At least 50.0% Effort in Academic Semester but less than 75% = Two (3 credits each) course reduction
- At least 75.0% Effort in Academic Semester but less than 100% = Three (3 credits each) course reduction

Under normal circumstances, the total number of course reductions for nine-month contract faculty members, including grant funded course reductions and course reductions granted for other reasons, should not exceed three course reductions per academic semester.

For twelve-month contract faculty administrators, the total of course reductions granted should not exceed four courses per year. Special exceptions may be made if approved by the individual's Department Head, Dean and the Provost and Senior Vice President for Academic Affairs.

The "*P*" during summer months is used to determine direct faculty compensation for summer work for nine-month contract faculty. The "*P*" can be as much as 100% during the summer months so that the proportion of effort, *P*, can be as high as '1'. Accordingly, nine-month faculty and administrators can earn up to one third of their salary during summer months. Grant Agencies may have additional constraints.

The proportion of administrative (not course reduction) time that may be spent in participation in funded research or scholarly activity by twelve-month contract faculty administrators' will be determined on a case by case basis with approval of the Provost and Senior Vice President for Academic Affairs.

3.1.2. Undergraduate and Graduate Research Assistants

Undergraduate and Graduate Research Assistants are students enrolled in programs at Robert Morris University. For purposes of research and scholarly activity, funding the wages of Undergraduate and Graduate Research Assistants are calculated based on a nine-month "performance period."

The level of any student's effort for grants and other internal employment commitments (e.g. work study) should not exceed 20 hours per week during the fall and spring

semesters. During the summer, students' grant research work and other University work commitments may be as much as 40 hours per week if they are not otherwise enrolled in classes -- up to 20 hours per week if they are so enrolled.

Amounts charged for Graduate Research Assistants who are working 20 hours per week are computed as follows:

Fall or Spring Semester:

$$(GTR * 9 \text{ credits}) + \$2,250$$

Summer Semester:

$$(GTR * 6 \text{ credits}) + \$1,500$$

Where **GTR** is the Graduate Tuition Rate per credit and the room and board amount is \$2,250 representing \$500 per month for 4.5 months during the fall and spring semesters and \$1,500 for 3 months during the summer semester.

When a Graduate Research Assistant works less than 20 hours per week (on average) during a semester, the amounts charged shall be pro-rated based on the proportion of 20 hours that the Graduate Research Assistant works.

The amount for Undergraduate Research Assistants is to be computed based on the hourly rates paid to Undergraduate Research Assistants. The rates vary based on University classifications. During budget preparation, the principal investigator should contact the Career Center to determine applicable rates and should include these rates in the budget for Undergraduate Research Assistant salaries.

3.1.3. Other Professionals' Compensation

Any professional included in the proposed research or scholarly activity who is not a full time faculty member or student, whether or not an employee of the university, will be included in the category of "other professional." Examples include laboratory technicians, assessment experts, and clerical staff, part time faculty and faculty and students from other universities whose services will be provided under contract. Salary and wages for these individuals will vary with terms of their contract for services with the University.

In the case of other professionals who are University employees, the project budget should include a documented estimate of the employee's compensation that will be attributable to time spent on the research or scholarly activity. Generally, any such research or scholarly activity should be considered to be part of the employee's duties and should not result in additional compensation for the employee. The employee be compensated if the research or scholarly activity requires the performance of services to be outside of the employee's regular workload. Such cases must be approved, on a case

by case basis, by the Senior Vice President for Academic Affairs in consultation with the employee’s supervisor and other appropriate University administrators.

3.2. Fringe Benefits²

All requests for external funding for research or other scholarly activity that seek reimbursement for salary shall also include a request for reimbursement for fringe benefit payments connected with those salary payments. Federal Insurance Contributions Act taxes (FICA) are included in the Fringe. For purposes of developing the project budget these fringe benefits will be computed as a percentage of the salary reimbursement described above using the following rates:

Table 3.1 Fringe Rates

Personnel Categories	Rates
Faculty or Faculty Administrator Academic Year Salary (nine-month contract)	30%
Faculty or Administrator Summer Salary (nine-month contract)	8%
Faculty Administrator (twelve-month contract)	30%
UG/G Research Assistant (academic year)	0%
UG/G Research Assistant (summer)	8%
Part-Time Faculty	8%
Other professionals – full time University employees	30%
Other professionals – part time University employees	8%
Other professionals – not University employees	per contract

Note: Students who take at least 6 credits per semester are FICA exempt. A FICA of 7.65% will be budgeted if the faculty compensation is involved instead of salary reimbursement.

3.3. Indirect Costs

Indirect costs are those costs associated with maintaining the infrastructure of the University that support research activities, public services, and instructional functions. Indirect costs are built into a research proposal budget to cover these costs. To the extent that sponsoring and funding agencies are willing to reimburse indirect costs, the project budget should include them.

The University has an indirect cost agreement that has been negotiated with the US Department of Health and Human Services. The rates listed below are valid through May 31, 2020, and will be negotiated again no later than November 30, 2019.

² Fringe benefits are benefits provided by an employer to an employee some of which are tax-exempt when certain conditions are met. Fringe benefits commonly include health insurance, group-term life insurance coverage, educational assistance, childcare and assistance reimbursement, cafeteria plans, employee discounts, employee stock options, personal use of a company-owned vehicle and others.

The Indirect cost rates are applied to “Direct Total Salaries and Wages” including all fringe benefits. This sum includes the following budget items:

- a) Faculty Direct Payments
- b) Faculty Release Time Reimbursement
- c) Other Professionals’ Salaries and Wages
- d) Undergraduate/Graduate Students payments

The negotiated indirect cost rates are:

- a) On-Campus rate: 35.7% of Total Salaries, Wages and Fringe Benefits
- b) Off-Campus rate: 17% of Total Salaries, Wages and Fringe Benefits

The “On-Campus Rate” is used when all activities are performed in facilities owned by Robert Morris University. The “Off-Campus Rate” is used when all activities are performed in facilities and not owned by Robert Morris University and to which rent is directly allocated to the project(s). If more than 50% of a project is performed off-campus, the off-campus rate will apply to the entire project. The “Training Rate” is used for any grant proposal involving training of internal or external individuals, including workshops, seminars, and short courses.

3.4. Distribution of Faculty Release Time Reimbursement and Indirect Cost

Faculty Release Time Reimbursement shall be allocated 50% to the School’s operating budget in which the investigators are appointed³ and 50% will be allocated to Academic Affairs.

Indirect costs shall be allocated 40% to the Dean’s Fund of the School in which the investigators are appointed⁴, 20% to Business Affairs and 40% to Academic Affairs.

Matching Funds/Cost Sharing/ Reporting Costs

Some funding or sponsoring agencies may require matching funds from the University or cost sharing at different levels in support of the proposed project. These may vary from in-kind matching to capital contributions. In some cases, matching funds may be restricted to external partnerships. Any commitments for matching funds or cost sharing on behalf of Robert Morris University must be approved by the Department Head, Dean, and the Provost and Senior Vice President for Academic Affairs and prior to budget preparation and the proposal submission.

³ In the case of multiple investigators from different schools this amount shall be distributed in proportion to the work levels of the researchers as specified in the grant application.

⁴ In the case of multiple investigators from different schools this amount shall be distributed in proportion to the work levels of the researchers as specified in the grant application.

In-kind matching funds or cost sharing might include facilities, equipment, professional employee time, research assistant and faculty time. All cost sharing items must be shown on the research budget, including internal and external commitments.

In addition, some funding or sponsoring agencies may require reports or audits prepared by professionals external to the University. In such case, where possible, the project budget should reflect these costs. If the funding or sponsoring agency does not provide funding for the reports or audits, the commitment to provide the reports or audits must be discussed with the Provost and Senior Vice President for Academic Affairs and Financial Operations prior to submission of the grant application.

4. Research Involving Human Subjects (The IRB process)

The federal Department of Health and Human Services, Office for Human Research Protections, has established "Code of Federal Regulations (C.F.R.)" relating to federal funding for research involving human subjects which "applies to all research involving human subjects conducted, supported or otherwise subject to regulation by any federal department or agency which takes appropriate administrative action to make the policy applicable to such research." State and private funding agencies may follow federal guidelines when considering human subject research or, they may have adopted their own guidelines. 45 C.F.R. § 46.

Accordingly, principal investigators who are preparing proposals for funding of research that involves human subjects must investigate whether the sponsor/funding agency will require compliance with policy regarding human subject research. If it is required then the principal investigator should submit an IRB application through irb.rmu.edu.

4.1. Exempt Research

A substantial amount of research is exempt from federal policy involving protection of human subjects. Exempt research includes normal educational practices, educational tests, studies using existing data, certain public demonstration projects and certain studies involving taste, for equality and consumer acceptance. 45 C.F.R. § 46.

The specific details of these exemptions can be found in the federal regulations. The regulations are available at:

<http://www.hhs.gov/ohrp/humansubjects/guidance/45cfr46.html>.

4.2. Research Covered by Human Subject Protection

If the proposed research is covered by federal, state or private funding agency policy relating to the human subject protection, it is the responsibility of the principal investigator (with the assistance of the Office of Academic Affairs) to meet the standards required by the funding agency. Most often this will require an Institutional Review Board approval of the proposed research prior to submission for funding.

Robert Morris University maintains a registered Institutional Review Board and has filed appropriate assurances with the Office for Human Research Protections. The Robert Morris Institutional Review Board meets periodically to consider proposed nonexempt research. The principal investigator should take the Institutional Review Board's meeting schedule and time frames for making decisions into account when planning a research funding submission that requires its approval.

The Robert Morris University Institutional Review Board policies, procedures and forms are located at:

<http://sentry.rmu.edu/web/cms/departments-offices/research-outreach/irb/Pages/default.aspx>

Specifically, the Institutional Review Board requires submission of proposals for full board review at least *two weeks* prior to the Institutional Review Board's meeting at which the proposal will be considered.

4.3. Expedited Review

Certain “research” activities that present no more than minimal risk to human subjects, and involve only procedures listed in [federally approved] categories, may be reviewed by the IRB through the expedited review procedure authorized by 45 CFR 45 § 46.

These categories include:

- certain drug studies, some collection of blood samples,
- collection of biological specimens,
- some collections of data through noninvasive procedures (not involving general anesthesia or sedation) routinely employed in clinical practice (with exceptions),
- non- exempt research involving materials (data, documents, records, or specimens) that have been collected, or will be collected solely for non-research purposes (such as medical treatment or diagnosis),
- collection of data from voice, video, digital, or image recordings made for research purposes,
- research on individual or group characteristics or behavior or research employing survey, interview, oral history, focus group, program evaluation, human factors evaluation, or quality assurance methodologies
- continuing review of some research previously approved by the IRB

The Robert Morris University Institutional Review Board has an application for expedited review (labeled "Exempt Review Application") and has adopted procedures relating to expedited review. They can be found at:

<http://sentry.rmu.edu/web/cms/departments-offices/research-outreach/irb/Pages/default.aspx>

4.4. Informed Consent

In general, participants in research studies subject to standards promulgated by the Office for Human Research Protections (parents for children under the age of 18) or otherwise subject to Institutional Review Board jurisdiction must provide informed consent for their participation.

Robert Morris University has promulgated guidelines for informed consent which may be found at:

<http://sentry.rmu.edu/web/cms/departments-offices/research-outreach/irb/Pages/default.aspx>

5. Intellectual Property

Investigators need to consider the expectations of the sponsor related to intellectual property. Some sponsors seek control over publications and documentations, or require ownership of all intellectual property resulting from the research. Therefore, the investigators must be aware of the expectations of the sponsoring agency prior to engaging in the proposal and/or the project.

The University's collective-bargaining agreement with the faculty contains provisions relating to intellectual property.

6. In-Kind Gifts and Transfers of Property

Robert Morris University has an administrative policy relating to in-kind gifts from external sources. In-kind gifts are non-monetary gifts that are offered to the University by external agencies.

These gifts cannot be accepted by University personnel until the procedures contained in the policy are followed. These procedures are meant to protect the University from accepting in-kind gifts that have no value to the University or require special storage and/or maintenance cost.

When a potential donor contacts any member of RMU staff, wishing to make an in-kind gift to the University the staff member is required to:

- Review the gift to determine if there exists a University or department need for the item.
- Contact the Senior Vice President for Institutional Advancement for an “In-Kind Gift Documentation” form.
- Complete the form and have it signed by the Department Head, the Dean and the Provost and Senior Vice President for Academic Affairs.
- Return the completed form to the Office of Institutional Advancement.

The Senior Vice President for Institutional Advancement will review the in-kind gift documentation and, if necessary, discuss the proposed gift with the appropriate individuals. The in-kind gift may or may not be accepted. The Department Head, the Dean, the Provost and Senior Vice President for Academic Affairs will be notified of the University’s decision, and if accepted, a gift receipt will be provided to the donor. If accepted, a copy of the “In-Kind Gift Documentation” form will be provided to the Accounting and Financial Services Department and the gift will be recorded as an asset of the University.

7. Contract Research, Training and Continuing Education

The research and outreach centers at Robert Morris University are established to provide a bridge between the community and the University. The following centers represent various ways that Robert Morris University connects with the region.

- Bayer Center for Nonprofit Management
- Center of Economics Education (SBUS)
- Center for Documentary Production & Study (SCIS)
- Research and Outreach Center (SEMS)
- Research and Innovation in Simulation Education Center (SNHS)

The faculty and staff of the University may be involved in various activities through the Centers including contracted projects, teaching in training workshops and seminars, and continuing education courses (credit and noncredit). Such activities usually are short term (one week, several weeks or several months) and begin and end at any time of the calendar year, although they can extend for longer times.

It is also possible that faculty and staff of the University can be involved in contract research through their departments and schools. Such contract research may extend over a longer time than training and continuing education.

The draft terms of contracts for research, training and continuing education may be negotiated by the faculty member who will be the principal investigator for the project. However, all contracts must be approved by the faculty member's Department Head and school Dean and may only be executed by the Office of Academic Affairs and/or Financial Operations – in accordance with the University's policies regarding contracts.

This section provides information and guidelines in preparing contract research, training and continuing education agreements.

7.1. Salaries and Wages

Salaries and wages for contract research, training, continuing education and similar projects will be determined based on specific agreements relating to the scope of work resulting from negotiations with the contracting agency or client. This includes salaries and wages for faculty, faculty administrators, professional and technical staff, administrative staff, undergraduate and graduate students.

7.1.1. Faculty and Faculty Administrators

The following describes compensation for faculty and faculty administrators (collectively "faculty") involvement in these projects:

- a) Compensation for projects with a duration less than a semester will be negotiated based on the total number of hours required for the project using the faculty

member's hourly rate provided by Financial Operations. Faculty members who participate in these projects may receive additional compensation based on the amount negotiated with the client or may receive course reduction funded by amounts negotiated with the client, in either case as approved by the faculty member's Department Head, School Dean and the Provost and Senior Vice President for Academic Affairs.

- b) Compensation for projects with duration of a semester or more shall be prepared in compliance with the guidelines in sections 2 and 3 above. Faculty members who participate in these projects will have the option of choosing course reduction and/or compensation based on the amount negotiated with the client subject to approval of the faculty member's Department Head, school Dean and the Provost and Senior Vice President for Academic affairs.

7.1.2. Undergraduate and Graduate Students

The wages for undergraduate and graduate students will determined based on negotiations with the funding agency.

7.1.3. Professional and Technical Staff

Any professional and technical staff member who is not a faculty member, faculty administrator or student in one of the above categories, will be included in this category. Examples include laboratory technicians, assessment experts, and administrative staff.

Wages for these individuals vary with the requirements. Salaries for these positions are usually budgeted for on an hourly basis subject to negotiations with the client.

7.2. Fringe Benefits

Fringe benefits may or may not be included in the contract depending on the negotiations with the funding agency. If the funding agency is willing to pay fringe benefits, they should be computed according to the guidelines in Section 3.

7.3. Indirect Costs and Distribution of Funds

Indirect costs may or may not be included in the contract depending on the negotiations with the funding agency. If indirect costs are included, the indirect cost rates described in Section 3 should be used in determining the indirect cost for the project. The indirect cost will be allocated as described in Section 3.

7.4. Process for Research, Training and Continuing Education Contracts

The Office of Academic Affairs will "facilitate" contract research, training and continuing education contracts using the guidelines provided in Sections 2 and 3 above.

APPENDIX A: ACCOUNT DESCRIPTIONS

Supplies		
73060	Education Supplies	Supplies related to the end user's "core business." Items used in the classroom, labs, and sports programs. Some examples of these items are chemicals, textbooks, projector light bulbs, drum sticks & clips, sheet music, medical supplies, diploma covers, hurdles, goals, pucks, etc.
73070	Office Supplies	Supplies used in the office relating to day-to-day operations. Some examples of these items are pens, pencils, envelopes, note pads, staples, rulers, kitchen supplies, water cooler rental and refills, etc.
73210	Apparel & Uniforms	Supplies for sport teams (ISC, Athletic, Intramural, etc.), employee uniforms or lab clothing, and graduation apparel (including medallions).
73310	Promotional/Marketing Items	Supplies used to promote RMU and/or give-a-ways at RMU functions. Some examples include items with the RMU logo (pens, shirts, mugs), prizes, plaques, artwork, parking tags, gift certificates, etc.
73350	Non-Capital Equipment	<p>Contains items where the unit price of the purchased equipment is less than \$1,000 or has a life of less than 3 years (the item will not be used up or out of date/useless within one year)</p> <p>If the unit price of the purchased equipment is \$1,000 or more and the life is greater than 3 years, the charge should be assigned to a capital account (fixed asset accounts 16000-16999.)</p> <p>This line item also includes shoes and other athletic equipment like helmets and shin guards. This is because NCAA rules specifically state that shoes are athletic equipment, and athletic equipment is not apparel or part of a uniform.</p>
73520	Non-Print Media	Multi-media materials (does not include printed media.) Some examples of these items include microfilm, microfiche, videos, CD's, films, etc.
73530	Periodicals	Library departments use this account for journals, magazines, newspapers, newsletters, etc. that are received on an annual basis through subscriptions. All other subscriptions should hit # 78500. Non-Library departments should use this account for purchases of books and/or supplies used to enhance job knowledge but not added to the Library collection.
73540	Non-capital Software	Purchase of computer software with a unit value less than \$1,000. If the software is \$1,000 or more, it should be charged to # 16930.
73560	Non-Capital Computer hardware	Purchase of computer hardware with a unit value less than \$1,000 (laptops, mobile devices, computer accessories, etc.)

Purchased Services		
74050	Internal Printing & Copying	All copying or printing that is done using departmental convenience copiers, laser printers, and/or jobs that are processed at the on-site IKON Center.
74100	Audit Fees	Cost of RMU's annual financial statement audit or the cost of any additional compliance audits required by a grant or funding source.
74200	Consulting & Professional Fees	Costs associated with utilizing someone who is an expert in a particular field which is providing a unique service of either a technical or professional nature to the University. All expenses related to the work should be charged to consulting fees including related material, travel, and meals where applicable. Honorariums to non-employees and payments to theatre participants, and dry cleaning services should be coded to this line item. Vendors with payments coded here should also have an Independent Contractor Evaluation Form on file.
74250	Service Contracts	The cost of service and/or support contract and/or agreements. Some examples of these include repair and maintenance of furniture, fixtures, and equipment, waste removal, pest control, software support contracts, maintenance agreements, renting access to a database, paycheck processing, etc.
74350	External Printing Services	Costs associate with jobs that are sent to outside printing companies. Typically this work will be coordinated through the Public Relations department. The Public Relations department can assist in determining the most cost effective way to produce a job and if the request should be sent to the IKON Center or to an external printer for processing. Also includes external printing of non-capital signs and banners.
74460	Advertising Production	Expenses related to creating and producing an advertisement (television, radio, or print.) This does not include the actual advertising cost.
74510	Fees, Licenses, Permits, & Fines	Used for business privilege licenses, licenses required for certification and/or accreditation, regulator filing fees, occupational license fees, municipal fees, late fees, penalties, permits fees, compliance fees/fines, test taking fees, etc. This does not include costs associated with dues to belong to associations/memberships.
74515	Direct Mail	Costs associated with purchasing list of names and processing mass mailing of materials. This does not include the postage associated with the mailings (see account #78650).
74700	Repairs & Maintenance	Non-contracted repairs, maintenance, or services for the physical plant structures and equipment. The materials used, however, are charged to account 73150-Maintenance Supplies. A purchase order is required for these supplies if the cost is more than \$250.

Other Expenses		
78250	Sponsorships	Used when a department sponsors another organization for the purposes of that area's advancement. If the sponsorship is for the purposes of institutional advancement, the President or a Senior Vice-President must approve. We are considered a sponsor if our name appears in a brochure for an event we gave money to and we do not attend the event (see # 78275 - Professional Development if attending the event.) Please remember that anything using the RMU logo should be approved by Public Relations. Also, lobbying sponsorships are highly regulated and limited. Please contact the Controller for more details.
78255	Internal Rent Expense	Internal transfer between RMU departments for rental of facility space. Mostly related to rental of rooms/areas in Sewall Center and ISC. This is budgeted by CFS and ISC area only, individual departments do not have to budget this expense.
78265	Rental Expense	Costs related to renting an item from an outside vendor. Some examples of these include renting of robes, sound systems, portable toilets, external space, tents, operating lease payments, furniture, fixtures, and equipment. If labor is included on an invoice for a rented item, this is also charged to rental expense.
78275	Professional Development	Used to capture costs associated with developing and/or training Faculty and Staff. Some examples are entrance fees for clinics, seminars, conferences, sponsorship event that is attended by an RMU employee, consultants time if coming to RMU campuses for personnel training, etc.
78280	Lodging	Costs associated with sleeping quarters (hotels) when traveling on official University trips. This includes Athletic team travel.
78285	Transportation	Costs associated with airfare, mileage, parking, road toll, cab fare, car allowance, car rental (and fuel), etc. when traveling on official University trips. This includes Athletic team travel.
78290	Meals & Entertainment	Costs associated with non-Parkhurst meals, and entertaining when traveling/performing on behalf of RMU. Also includes Athletic team meals and student entertainment programs. Other items can be flowers, cards, cakes, small gifts, etc.
78295	Recruiting	Contains costs related to student recruitment. Also used for employee recruiting process (background checks, travel, hotel, meal, etc.), and relocation/moving expense for employees.
78400	Parkhurst - Internal Food Service	Only expense for on-campus services provided by Parkhurst should be charged to this account. This includes departmental charges at the Food Court, Barista Café, or RoMo's and any other orders from Parkhurst for individual departments.
78450	Dues	Memberships and dues related to organizations that RMU or employees are involved with (includes professional associations and memberships.)
78500	Subscriptions	Subscriptions to newspapers, magazines, and other printed materials (non library related.)
78600	Advertising	Media advertising costs should come through the Public Relations department. This includes radio announcements, billboards, newspaper, and television ads. Advertising costs associated with hiring of Faculty and Staff should come through Human Resources. These include web, newspaper, and magazine employee advertising.
78650	Postage	Costs for stamps and other charges associated with postage and mailings (normal ground and overnight costs.)

APPENDIX B: GRANT COMPENSATION POLICIES

Grant Compensation Policy

December 2013

The purpose of this policy is to clarify how work performed for grant-funded initiatives will be charged and the circumstances under which employees may earn additional compensation for grant work.

1.0 Scope

This policy applies to full-time and regular part-time staff and full-time faculty, as outlined below.

The main objective in soliciting grants is to expand upon an existing body of knowledge in a particular subject while at the same time increasing the University's resources and reputation in the educational community. A significant portion of grant budgets is often for personnel costs. This typically involves the grant purchasing a portion of an employee's time to work on grant related functions in lieu of normal duties.

2.0 Procedure

Full-time faculty – Full time faculty will typically be granted a course load reduction for work performed based on “Percent Effort in Project Period” on a grant as follows:

- At least 25.0% Effort in Academic Semester but less than 50% = One course reduction
- At least 50.0% Effort in Academic Semester but less than 75% = Two course reduction
- At least 75.0% Effort in Academic Semester but less than 100% = Three course reduction

If a course load reduction is not possible and the grant time effort is up to 10%, the faculty member may be eligible to receive up to 10% additional compensation (based upon the individual's current base pay). For grants involving summer work, 9 month faculty may be eligible to receive summer compensation of up to 3 month's salary, unless the funding agency imposes additional limits (e.g. 2 months).

Full time and regular part-time staff (including academic administrators) – Staff performing work for grants will have a proportionate amount of their salaries charged to the appropriate grant. Any regular work duties not performed as a result of grant work should be reassigned to co-workers or additional part-time employees. In the event that this is not possible/practical, a staff member may be allowed to perform additional work outside of his/her normal work schedule. This additional work shall be limited to 10% of his/her typical work load; the employee is eligible to earn up to an additional 10% of his/her normal pay for this work, charged to the appropriate grant.

The Principal Investigator (PI) is responsible for monitoring all compensation charges and additional payments related to grant activity, subject to appropriate approvals. All time allocations for grant proposals must be approved as follows prior to submission:

Full-time Faculty

- Department Head
- Dean
- Principal Investigator for the grant
- Vice Provost, Research & Graduate Studies

Staff

- Immediate Supervisor
- Vice President of area
- Principal Investigator for the grant
- Vice Provost, Research & Graduate Studies

Grants Compensation Policy

Examples of Policy

Created by: J. DeVuono

Date: 9/9/14

Full Time Faculty Examples:

1. Course Load Reduction- granted if faculty member is working more than 25% of time on a grant in any semester. The number of courses reduced depends on percentage being worked on grant.
 - Working 25% on grant, get 1 course load reduction per semester
 - Working 45% on grant, get 1 course load reduction per semester
 - Working 50% on grant, get 2 course load reductions per semester
 - Working 70% on grant, get 2 course load reductions per semester
 - Working 75% on grant, get 3 course load reductions per semester
 - Working more than 75% would require a sabbatical and would not fall under “course load reduction.”

2. Additional Compensation- if the grant time effort is 10% or less during the academic year, the faculty member may receive additional compensation of up to 10% based on the individuals current pay base.
 - Working 5% on grant, get 5% of current salary for time period working on grant
 - Working 10% on grant, get 10% of current salary for time period working on grant
 -
 - Working 25% on grant, get 1 course load reduction per semester
 - If a grant requires between 11% to 24% work, we would have two faculty members split the required time and each get a stipend. If the grant required 15% effort, Faculty #1 would do 10% and F #2 would do 5%, or F #1 would do 7.5% and F #2 would do 7.5%.

3. Summer Grant Work- nine month faculty may earn summer compensation of up to three months' salary as long as funding agency doesn't impose a lesser limit.
 - Summer work of 1 month on grant, can earn 1 month of current annual salary as a stipend as long as funding agency doesn't prohibit it.
 - Summer work of 2 months on grant, can earn 2 months of current annual salary as a stipend as long as funding agency doesn't prohibit it
 - Summer work of 3 months on grant, can earn 3 months of current annual salary as a stipend as long as funding agency doesn't prohibit it. Grant work can only be June, July & August as faculty contract is through May.

Full Time and Regular PT Staff, Including Academic Administrators:

1. Charge Time to Grant- the proportionate amount of salaries will be charged to the respective grant(s). Any regular work duties not performed because of grant work will be assigned to other workers. If not possible, the employee may work up to 10% additional time outside of their normal work load and be paid a stipend for that which will be paid for by the grant.
 - Working 20% on grant and other employees cover regular duties, 20% of regular salary is charged to grant

- Working 20% on grant and other employees cover 10% of regular duties but employee must work 10% additional time. The employee gets 10% stipend and we charge 10% to grant.
- Working 10% on grant, no one covers regular duties, employee may receive 10% stipend paid by grant.
- Working 45% on grant and other employees cover regular duties, 45% of regular salary is charged to grant