

OFFICE OF RESEARCH AND SPONSORED PROGRAMS

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603-02-000 ORGANIZATION AND PURPOSE

001 CHARGE TO OFFICE OF RESEARCH AND SPONSORED PROGRAMS

Although the basis of what is now the Office of Research and Sponsored Programs was established in 1961 as the Bureau for Faculty Research, the formal establishment was July 27, 1964, when President James L. Jarrett wrote a memo to subsequent administrations regarding "Organization and Functions of the Bureau for Faculty Research." This charge gave the "BFR" responsibility for:

- ◆ Keeping records of all research in progress among Western's faculty;
- ◆ Encouraging significant research and comparable creative activity in the arts and humanities and assisting WWU scholars and artists in obtaining funds from appropriate agencies and foundations;
- ◆ Aiding scholars, artists, and scientists with clerical assistance, student assistants, and the preparation of various materials when the department of the faculty member concerned is unable to provide such services. Additionally, the Bureau for Faculty Research may use its own funds to grant small sums for pilot projects. Such support depends on available funds.

To fulfill this charge, the following policies and procedures have been developed:

002 INTERNAL ORGANIZATION (See organization chart, previous page)

The Office of Research and Sponsored Programs is made up of the following personnel

- ◆ Director
- ◆ Grant Accountant
- ◆ Proposal/Funding Information Coordinator
- ◆ Secretary Senior
- ◆ Receptionist/Office Assistant

The Director of the Office of Research and Sponsored Programs reports to the Vice Provost for Research and Dean of the Graduate School.

010 PURPOSES

The primary purpose of the Office of Research and Sponsored Programs is to encourage research and creative endeavors at Western Washington University and to maintain records of all such activities. This is accomplished by:

- ◆ obtaining information regarding sources of funding available and by disseminating information to faculty and staff;
- ◆ consulting with faculty, staff and graduate students regarding prospective funding and assisting them in the preparation of proposals to outside agencies;
- ◆ preparing, reviewing and approving grant proposals to be submitted to funding agencies; and maintaining records of proposals that have been submitted to agencies for funding;
- ◆ maintaining accounting records for all award funds and assisting the grant/project directors in the management of these funds;

- ◆ awarding small grants to faculty for research, publication, and creative activities;
- ◆ co-sponsoring programs and/or symposia funded from internal or outside sources;
- ◆ providing other support services that are needed for compliance with Federal and State laws governing grants/ contracts and agreements.

603-02-100 PRE-AWARD FUNCTIONS

110 RECEIPT OF INFORMATION

The Office of Research and Sponsored Programs draws its information regarding available funding for research and creative endeavors from a variety of sources, including newsletters, electronic alert services, computer networks and inquiry databases, and resource books. Newsletters and periodicals that are subscribed to by the RSP and scanned for relevant funding opportunities include the *Federal Register*, *Grant Resource Center*, *Federal Grants and Contracts Weekly*, and *NIH Guide for Grants and Contracts*. Additionally, the RSP has an up-to-date reference library containing directories of private, corporate, and government funding sources. These materials are used by the RSP staff and are also available to the campus community.

120 DISSEMINATION OF INFORMATION

Guidelines and announcements of funding opportunities are distributed to those individuals or departments that have indicated an interest in the particular type of program. Announcements are made in *FAST* almost every week regarding new information received. Additionally, the bi-quarterly *RSP Notes* details various grant and fellowship opportunities and other relevant funding information. Faculty members are also encouraged to use the RSP web site or visit the RSP offices where copies of guidelines for many programs are available. Faculty are welcome to make inquiries regarding particular programs. The RSP staff will make every effort to locate program information for faculty.

130 CONSULTATION WITH PROSPECTIVE PROJECT DIRECTORS

The Office of Research and Sponsored Programs staff is available for consultation regarding the preparation of proposals for grants, contracts and agreements to fund faculty and staff projects. Recommendations, advice and assistance are provided for writing the proposal to meet agency guidelines, preparing a project budget, obtaining the necessary departmental and appropriate review committees' clearances, fiscal management of project funds, and other pertinent matters.

140 PREPARATION OF PROPOSALS

The Office of Research and Sponsored Programs staff is available to review proposals prepared for external funding of projects in order to ensure adherence to the funding agency's guidelines. The staff will also assist in copying and submitting the proposals.

150 AUTHORIZED SIGNATURE ON GRANT, CONTRACT OR AGREEMENT PROPOSALS

The Vice Provost for Research is the officer authorized to sign for the University on grant, contract or agreement proposals, unless the guidelines require the President's signature. Before the Vice Provost for Research will sign the proposal for the University, college deans and department chairs must have reviewed the proposal and indicated their endorsement by signing the "Pre-Approval for External Support Form."

160 PROPOSAL SUBMISSION

Faculty and staff must have their proposals submitted (mailed or electronic) to the funding agency by the Office of Research and Sponsored Programs. This is required so that the University can:

1. ensure that all proposals are sent with the appropriate certification;
2. to coordinate campus grant/contract/agreement requests;
3. ensure that all of the proper authorizing signatures are present on the proposal;
4. ensure that University resource commitments have been duly authorized,
5. ensure that the project budget conforms to University and government policies.

170 RECEIPT OF AWARDS

All awards, whether the award instrument is a grant, contract or agreement, to support faculty or staff projects, as well as student projects that run through the University, must be accepted by the authorized officials of the University. The officials authorized to accept awards for the University are the President and the Vice Provost for Research.

Upon receipt of an award notice by either the President's office or the Office of Research and Sponsored Programs, the grant director is immediately notified by the RSP.

180 AWARDS TO GRANT ACCOUNTING

Award documents including the approved project budget and any cost-sharing commitments are forwarded immediately to grant accounting. Notices are sent to the Public Information Office for appropriate media coverage.

603-02-200 POST-AWARD FUNCTIONS

The Grant Accountant keeps records of all financial activity on grants and contracts from outside agencies to support projects by faculty and staff of WWU. The Grant Accountant receives grant awards and contracts from the Director of the RSP and sets the awards into the historical and financial records of the University. The grant accountant then sets them into the accounting system of the University. Grant Accounting also maintains accurate records of all expenditures so that the grant director, auditors, or others concerned with expenditures from grant or contract funds may consult with RSP personnel regarding the fiscal management of the grant.

210 SETTING UP A GRANT AND/OR CONTRACT AWARD

When a grant, contract, or agreement is received, it is thoroughly read for details on administration. The budget detailed in the contract is checked for accuracy. The grant, contract, or agreement is assigned an accounting code number according to category (fund codes are assigned in sequence). Each item in the budget is assigned the proper account code.

The accounting code is validated and set in the University's valid code listing, then set into the internal files of the RSP. A packet detailing budget allotments and other pertinent information, including matching support, if required, is sent to the grant director. First-time grant directors are also given a copy of *The Grant Director's Manual* providing instructions on areas of grant management to which they are responsible.

220 WWU MATCH & COST SHARING

The data for the university's contributions to externally funded projects to meet matching or cost-sharing requirements of the award are collected from the grant director and recorded by the Grant Accountant so that it is readily available for future reference and reporting.

230 BILLING AND REPORTING

The Grant Accountant, according to individual contract requirements and schedule, prepares bills and financial reports.

240 OTHER SERVICES

- ◆ Consultations with personnel in Financial Services office
- ◆ Closure of grants
- ◆ Consultation with grant directors regarding awards and expenditures
- ◆ Compilation of reports on grant awards and expenditures

250 FOLLOW-UP

The Office of Research and Sponsored Programs works with grant directors during the life of a grant. Consultation service is available and the directors often confer with the RSP staff regarding procedures, expenditures, final reports, and any problems, which might arise. The grant directors must write final narrative reports. The RSP must receive and retain copies of interim and final reports.

In order to keep accurate financial records, payroll appointment and position control forms, travels forms, purchase/reimbursement forms, etc., must be signed by the Office of Research and Sponsored Programs Director or Grant Accountant. Before the document is signed, a check is made to determine if the project award covers the expenditure or personnel action. Coordination with the Equal Opportunity Center and the Human Resources Department is often required.

A complete manual showing step-by-step procedures for Grant Directors is available from the Office of Research and Sponsored Programs.

603-02-300 RESEARCH ADVISORY COMMITTEE (RAC)

The Office of Research and Sponsored Programs manages grant overhead funds and uses them for operations, support of faculty research, and other purposes. A portion of these funds are used by the Research Advisory Committee to award grants to faculty.

The seven-member Research Advisory Committee, with representation from each College, is appointed by the President upon the recommendation of the Vice Provost for Research and after consultation with the Director of RSP. The Vice Provost for Research serves as the permanent chair of the committee.

The Research Advisory Committee reviews requests for grants and approves awards. Grants are awarded for research and creative endeavors.

603-02-400 POLICIES AND PROCEDURES SET FOR FACULTY RESEARCH GRANTS AND OTHER RSP EXPENDITURES

The following is a description of the policies and procedures of the Research Advisory Committee concerning small grants for faculty research. All grants from the RSP are contingent upon the availability of funds.

410 GENERAL POLICY/PURPOSE

The purpose of awarding grants to faculty is to encourage research and creative endeavor. In making its decisions on faculty requests, the RAC considers:

- ◆ Clarity and validity of proposal
- ◆ Potential contribution of research to the field
- ◆ Potential for publication and external funding for further research
- ◆ Effect on the intellectual growth of the faculty member
- ◆ Past scholarly accomplishments of the faculty member

A proposal should include a clear statement of the objective and the nature of the study, methodology, a budget showing how the funds will be used, vitae of the researcher, expected outcome, and future plans. Additional requests from the same person are considered only if previously funded research has led to publications, proposals, performances, creative products, or external funding for the faculty member's project. Therefore, the results of prior support must be included in any future requests.

420 GRANTS-IN-AID

Grants of up to \$2,000 are awarded to assist faculty with research and/or creative activities. The following restrictions apply:

- ◆ Texts, instructional materials, or curricular development projects are not funded through the grants-in-aid program;
- ◆ Grants are not awarded for dissertation work;

- ◆ RSP research grants are independent of the amount of indirect costs collected from the applicant or the applicant's department's grants and contracts;
- ◆ Low priority is given to projects, which may generate income;
- ◆ Outside funding should also be sought. The RSP will assist researchers in locating funding sources;
- ◆ Travel to and from and living expenses during an off-campus professional leave is not funded;
- ◆ Student research activities and salaries are not funded through RSP grants. The faculty member who requests the grant must perform the major portion of the research;
- ◆ Grants are not available for graduate study, student financial aid or student travel.
- ◆ There is a \$4,000 limit per faculty member per year for the total of grants-in-aid and mini-grant awards.

430 PILOT PROJECT FUNDING

Grants for up to \$3,000 are awarded to assist faculty in initiating pilot projects which will generate data needed to develop proposals for extramural funding.

440 TRAVEL

The RSP annually allocates funds directly to the deans for faculty travel to present papers at professional meetings. The Research Advisory Committee will only review requests for travel funds directly related to the conduct of current research.

450 SUMMER RESEARCH GRANTS

The purpose of the Summer Research grant program is to fund scientific or artistic creative endeavors but not texts or curricular materials.

Only full-time faculty of WWU (who will be on continuing contract the year following the summer grant) are eligible. Under most circumstances, adjunct faculty, part-time faculty, and persons employed through external grants or contracts are ineligible. Persons teaching more than one course or workshop during the summer are also ineligible.

The project should be completed or be well toward completion by the end of summer term.

RSP policy for Summer Research Grants:

- ◆ Summer Research Grant proposals are judged on relative merit, based on the criteria given in the general policy/purpose section above;
- ◆ Summer Research Grants are for salary only;
- ◆ Faculty members may not receive Summer Research Grants in two consecutive years;
- ◆ Proposals for partial or shared grants will be considered. Currently \$5,000 is a full grant;
- ◆ A faculty member may submit only one proposal each summer;
- ◆ Members of the Research Advisory Committee are not eligible during their two-year term;

- ◆ Recipients are required to provide a written summary of their summer research activity to the Research Advisory Committee. Recipients must also be willing to participate, if invited, in the series of research presentations co-sponsored by the RSP and Sigma-Xi;
- ◆ Summer grants are not awarded in lieu of summer employment or as unemployment insurance.

460 PROJECT DEVELOPMENT AWARDS

- ◆ When funds are available, grants will be given to provide release time for faculty to develop externally fundable proposals.
- ◆ The RAC will evaluate and recommend proposals to be supported based on published criteria.
- ◆ The competitions for Project Development Awards will be announced in FAST.

470 OLSCAMP RESEARCH AWARD

- ◆ A call for nominations will be made each Winter Quarter for the Olscamp Research Award.
- ◆ The RAC will review the nominations and recommend the recipient to the President

480 EQUIPMENT GRANTS

Matching - RSP funds are available for use in matching research equipment grants where matching funds are required.

Ownership - Equipment purchased with RSP funds belong to the University.

No funds are available for personal equipment (i.e., personal computer for private use).

603-02-500 OTHER RSP SUPPORT

510 PUBLICATION SUPPORT

Page Charges: Money may be provided for page charges. It is expected that the faculty member or the faculty member's department and the RSP will each pay 1/2 of the page charges. In no case will RSP pay more than a maximum of \$750 of the page charges.

Reprints: The Office of Research and Sponsored Programs will provide up to \$100 to faculty members to purchase reprints of their research articles.

Manuscript Preparation: Assistance with the preparation of manuscripts for publication up to \$750 per book.

520 RESEARCH SUPPORT FOR LIMITED TERM FACULTY

Limited term faculty members are eligible for the following awards and support services:

- ◆ RSP staff assistance in funding searches, preparation of proposals to extramural funding sources, administration of extramural grants;
- ◆ Publication support (reprints and page charges);
- ◆ Mini-Grants and Grants-in-Aid for assistance in research or creative activities.

In very exceptional circumstances, with strong justification by the Dean, the Research Advisory Committee will accept for review applications from full time non-tenure track faculty who have an appointment for the succeeding year for Pilot Project and Summer Research Grants.

530 RESEARCH SUPPORT FOR EMERITI PROFESSORS

The RSP will provide funds to assist emeriti professors in preparing manuscripts for publication. The support is limited to the amount available to active faculty (\$750 per book manuscript at this time). The requests (using the Mini-Grant form) are to be submitted through the College Dean, who will attach a recommendation and forward to the RSP.

540 SUPPORT FOR JOURNAL EDITING

Funds are available to support faculty members who take on editorial responsibilities for professional journal. As initial support for faculty members taking on journal editing functions, the Office of Research and Sponsored Programs will provide a maximum of \$2,000 per year for the first two years. A maximum of \$1,000 is available for the third year. The funding may be used to obtain partial course release, student assistance or clerical help. (See full details at <http://www.ac.wvu.edu/~RSP/journedit.html>.)

603-02-600 ANIMAL CARE AND USE COMMITTEE

The Office of Research and Sponsored Programs coordinates the activities of the Animal Care and Use Committee (ACUC). All experiments or procedures involving live vertebrate animals must be approved in advance by the ACUC. The ACUC's policies and procedures follow regulations set up by the U.S. Department of Agriculture and the U.S. Public Health Service for the humane treatment of animals.

The ACUC is made up of five members including faculty, a veterinarian, and a representative of the local community.

610 POLICIES GOVERNING PROCEDURES FOR THE USE OF ANIMALS IN RESEARCH AND TEACHING AT WESTERN WASHINGTON UNIVERSITY

A copy of the policy and procedures document that governs the ACUC is available on the Office of Research and Sponsored Programs web page at <http://www.wvu.edu/~RSP/pp.html>.

620 REVIEW OF ANIMAL USE

The Animal Research Approval Form must be submitted through the RSP for review by the ACUC. Forms are available in the RSP and on the RSP web page.

603-02-700 HUMAN SUBJECTS REVIEW COMMITTEE

The activities of the Human Subjects Review Committee (HSRC) are coordinated through the Office of Research and Sponsored Programs. Following guidelines published by the U.S. Public Health Service's Office for the Protection of Research Risks, the HSRC reviews all research involving human subjects.

The HSRC is chaired by the Vice Provost for Research and includes faculty members and one member who represent the local community. The committee reviews protocols submitted on forms available in the Office of Research and Sponsored Programs.

710 POLICIES GOVERNING PROCEDURES FOR THE HUMAN SUBJECTS IN RESEARCH AND TEACHING AT WESTERN WASHINGTON UNIVERSITY

A copy of the policy and procedures document that governs the HSRC is available on the Office of Research and Sponsored Programs web page at <http://www.wvu.edu/~RSP/pp.html>.

720 REVIEW OF HUMAN SUBJECTS

The Human Subjects Approval Form must be submitted through the RSP for review by the HSRC. Forms are available in the RSP's office and on the RSP web page.

603-02-700 MISCONDUCT IN RESEARCH

Under the Policy and Procedural Guidelines for Misconduct in Research and Scholarship, allegations of misconduct in research and scholarship are directed to the Dean of the appropriate college and the Vice Provost for Research. The University assumes responsibility for resolving allegations and investigating incidents of misconduct by its faculty, staff, and students. These responsibilities exist regardless of whether the activity is funded by federal, state, or private sources, or are the result of unfunded efforts. For the full text of the policy, see the Faculty Handbook, RSP's home page, or request a copy from the Director of the Office of Research and Sponsored Programs.

603-02-900 CONFLICT OF INTEREST

Under the Financial Disclosure Policy for Federally-Funded Projects, faculty members participating in federally sponsored projects must disclose whether or not they have external affiliations that may constitute a conflict by falling within criteria outlined in the policy. Positive disclosures will be reviewed by a Conflict Review Committee consisting of the Vice Provost for Research, the Assistant Attorney General, and the Director of the

Office of Research and Sponsored Programs and the Director for Risk Management. For the full text of the policy, see RSP's home page, or request a copy from the Director of the Office of Research and Sponsored Programs.

603-02-900 PATENT & COPYRIGHT COMMITTEE

WWU has adopted uniform policies and procedures for the regulation and administration of intellectual property rights generated by the activities of its faculty, employees and others associated with the University. The Patent and Copyright Committee (PCC) has the authority to administer the Patent and Copyright Policy (<http://www.ac.wvu.edu/~RSP/patent.html>).

The PCC shall consist of the following persons:

- ◆ The Vice Provost for Research, Chair of the PCC
- ◆ Director of the Office of Research and Sponsored Programs, Vice Chair and Convener
- ◆ A Legal Consultant who shall be an ex officio non-voting member
- ◆ Two faculty members selected by the Vice Provost for Research from the Research Advisory Committee and approved by the President of the University for a term of two years.
- ◆ One person selected by the Faculty Senate and approved by the President of the University for a term of two years.