
UOG Office of Research and Sponsored Programs

Procedures, Regulations, and Policies Manual

Last updated: August 23, 2018



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University of Guam Policy / Procedure Face Sheet Template

Policy Type	[] Board; [] Board-approved; [] President; [X] President-approved; [] Other				
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Who Should Review (not in specific order)	[] Creating group; [] Unit Administrator(s); [] Unit Academic Affairs Committee; [] Human Resources Office; [] Business Office; [] Facilities & Maintenance; [] Institutional Safety Committee; [] Faculty Senate; [] Faculty Union; [] Student Government Association; [X] Research Council [X] Administrative Council; [] Academic Officers Council; [] Vice President Administration & Finance; [] Senior Vice President for Academic & Student Affairs; [] UOG Legal Counsel; [X] UOG President; [] UOG Board of Regents;				
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NOTE: All approved changes to policy/procedures need to be made on the hardcopy of this document within 5 workdays and posted on https://www.uog.edu/policy-procedures-library/ within 10 workdays from the date approved.					

Office of Research and Sponsored Programs

1. Policy/Procedure Statement

This policy makes available the policy requirements that serve the terms and conditions of pre-award and post awards. By accepting an award, Principal Investigators and the Project Team agree to comply with the requirements in the ORSP Policy Statement. Notices of policy changes published in the RRPM can supersede information in the ORSP Procedures, Regulations, and Policies Manual. ORSP will incorporate these notices into the annual update of this manual.

2. Reason for the Policy/Procedure

To enforce best practices for pre-award and post-award.

3. Scope of Policy/Procedure and Exclusions

All members of the University community are affected by this policy/procedure, except minors.

4. Who Should Read this Policy/Procedure

This Policy/Procedure is intended for the personnel responsible for Pre-award, Post-award (grant management) including Principal Investigators (PI), Co-PI, Grant Program Managers, and other grant team members.

5. Responsibilities

Compliance, monitoring, and review

- Office of Research & Sponsored Programs maintains this manual and is responsible for making sure it is kept updated, posted on the UOG website, and manages the required three (3) year comprehensive review.

Records management

- Office of Research & Sponsored Programs keeps this manual.

6. Definitions (should be referenced by, and in, the UOG Definition Glossary – URL _____)

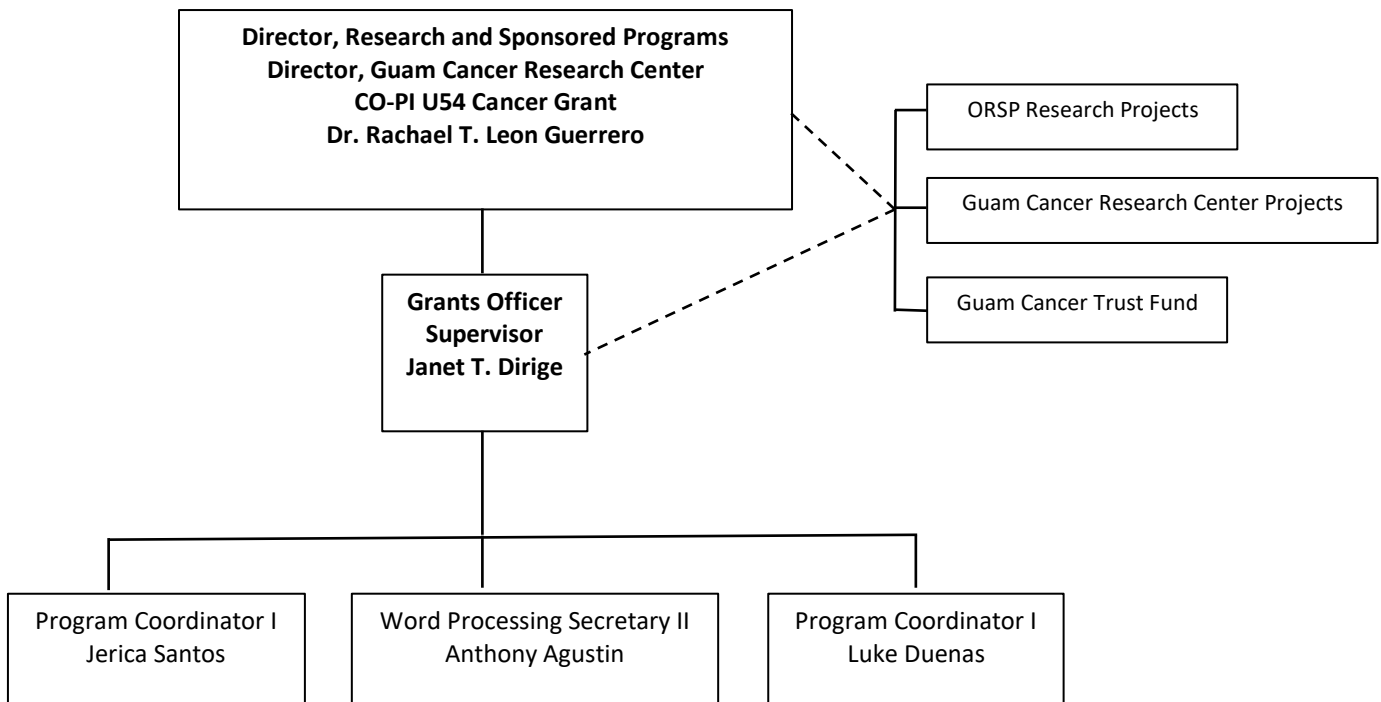
7. Feedback

University staff and students may provide feedback about this document by emailing orsp@triton.uog.edu

INTRODUCTION

The Office of Research and Sponsored Programs (ORSP) Procedures, Regulations, and Policies Manual provides policies and procedures relating to funded research grant awards, sub-awards, contracts, or cooperative agreements for all UOG administrators, faculty and staff involved. Corrections, changes, requests for clarification, or suggestions should be communicated to orsp@triton.uog.edu. ORSP operates to streamline the administration of funded projects and other similar externally funded research by providing information, technical assistance, and guidance on program management throughout the proposal period from pre-award to post-award. ORSP is located at the University of Guam (UOG/University), Dean's Circle, House 27. UOG must comply with federal and local sponsor requirements for programmatic, regulatory, fiscal, and property stewardship. Therefore, principal investigators (PIs) must comply with the requirements governing each proposal and award. ORSP is responsible for verifying PI compliance. Below is the organizational chart of ORSP.

ORGANIZATIONAL CHART OFFICE OF RESEARCH AND SPONSORED PROGRAMS



Approved:

DR. ROBERT A. UNDERWOOD, PRESIDENT

Research Mission: The University of Guam's institutional mission addresses three primary foci: teaching, research, and outreach pertinent to the western Pacific region. ORSP' major priorities are to:

- Support faculty members and University personnel to conduct research activities and to successfully manage existing research and sponsored projects.'
- Select public and private agencies locally, nationally, and internationally as grantors.
- Seek external funding and engage in projects related to the mission and goals of UOG.

The following outlines processes, policies, and procedures for Research at UOG and for ORSP.

1. RESEARCH COUNCIL

Membership

- Director, Research and Sponsored Programs
- Dean, Learning Resources
- Directors of:
 - Marine Laboratory
 - Micronesian Language Institute
 - Richard F. Taitano Micronesian Area Research Center (MARC)
 - Water and Environmental Research Institute of the Western Pacific (WERI)
- Associate Director of Western Pacific Tropical Research Center (WPTRC)
- One elected faculty member each from the:
 - College of Natural & Applied Sciences (CNAS)
 - College of Liberal Arts and Social Sciences (CLASS)
 - School of Business and Public Administration (SBPA)
 - School of Education (SOE)
 - School of Nursing and Health Sciences
- Ex officio member – Representative of the Office of Research and Sponsored Programs (ORSP)

Functions

The Research Council shall be responsible for providing advisory services to faculty, administrators, and staff of the various research units on campus on matters of funding sources and other research-related concerns; shall stimulate and help faculty members conduct basic and applied research in their area of specialization; and shall review and make recommendations to the University President via the Senior Vice President - Academic and Student Affairs, on all requests for the establishment of research institutions on campus. Research-related matters of compliance with federal regulations shall be administered by the Research Council or its designated subcommittees, i.e., Committee on Human Research Subjects and Institutional Animal Care and Use Committee.

a. Misconduct in Research

It is the policy of the University of Guam to foster a research environment that discourages misconduct in all research, research training or research related activities pursued at the University or under the sponsorship of the University.

Misconduct in research means: fabrications, falsification, plagiarism, or other practices that seriously deviate from those that are commonly accepted within the academic and scientific community for proposing, conducting, exhibiting, or reporting research. It does not include honest error or honest differences in interpretations or judgments of data.

Allegations of misconduct in research must promptly be reported directly to the Director of the ORSP. Acts of retaliation against those who, in good faith, make allegations of misconduct shall be deemed to be misconduct in research. Allegations that are determined to have been made in bad faith shall be deemed to be misconduct in research. In the interest of protecting the reputation and privacy of those who may be involved, it is important that allegations be treated with confidentiality. In the event of allegations of such misconduct, it is the policy of the University to initiate a preliminary inquiry into such allegations; to conduct an investigation, if warranted, and to impose appropriate sanctions, if

warranted; and, if appropriate, to report to the federal Office of Scientific Integrity (OSI), a component of the Office of the Director of the National Institutes for Health, or to the Office of the Inspector General (OIG) of the National Science Foundation. These actions will be undertaken in accordance with 42 CFR Part 93, and 45 CFR Part 689 following procedures and with due consideration to the rights and reputation of the accuser and accused.

It is the responsibility of all persons at the University involved in research, research training or related research activities to familiarize themselves with these policies and procedures. Copies of 42 CFR Part 93, and 45 CFR Part 689 are available from the ORSP upon request.

b. Human Research

It is the policy of the University that no research involving human subjects be undertaken until those research activities have been reviewed and approved according to procedures developed by the Committee on Human Research Subjects (CHRS) of the Research Council.

c. Animal Research

The University adheres to the standards for protecting animal research subjects promulgated by the National Science Foundation, the National Institute of Health, and the U.S. Department of Agriculture. An established Institutional Animal Care and Use Committee of the Research Council shall ensure that the University community adheres to these standards.

2. COMMITTEE ON HUMAN RESEARCH SUBJECTS

Purpose

U.S. Mandate — In the United States, Institutional Review Boards (IRBs) are governed by Title 45 CFR (Code of Federal Regulations) Part 46. These regulations implement provisions of the National Research Act of 1974, for example defining IRBs and requiring them for all research that receives support, directly or indirectly, from what was the Department of Health, Education, and Welfare at the time, and is now the Department of Health and Human Services (HHS). IRBs are themselves regulated by the Office for Human Research Protections (OHRP) within HHS. IRBs were developed in direct response to research abuses earlier in the twentieth century. Two of the most notorious of these abuses were the experiments of Nazi physicians that became a focus of the post-World War II Doctors' Trial, and the Tuskegee Syphilis Study, a project conducted between 1932 and 1972 by the U.S. Public Health Service on Black men in rural Alabama. Title 21 part 56 has additional requirements for IRBs that oversee clinical trials of drugs involved in new drug applications.

IRBs are most commonly used for studies in the fields of health and the social sciences, including anthropology, sociology, and psychology. The purpose of an IRB review is to assure, both in advance and by periodic review, that appropriate steps are taken to protect the rights and welfare of humans participating as subjects in a research study. To accomplish this purpose, IRBs review research protocols and related materials (e.g., informed consent documents and investigator brochures) to ensure protection of the rights and welfare of human subjects of research. The chief objectives of every IRB protocol review are to assess the ethics of the research and its methods, to promote fully informed and voluntary participation by prospective subjects who are themselves capable of making such choices and to maximize the safety of subjects once they are enrolled in the project.

Membership

The Committee on Human Research Subjects (CHRS) shall constitute the University's Institutional Review Board (IRB) for human research subjects. The CHRS shall be comprised of at least five (5) members appointed by the President. The Chair shall be recommended by the Director of ORSP to the President, to be appointed for one (1) three (3) year term. The Chair of this committee shall receive a one quarter load allocation per semester. Other CHRS members shall be appointed for two (2) years, renewable and for staggered terms. The CHRS shall not consist entirely of men, entirely of women, or entirely of members of one (1) profession. At least one (1) member shall be a person whose primary training and research concerns are in nonscientific areas; for example, lawyers or

members of the clergy. At least one (1) member shall be a person who is not otherwise affiliated with the University or part of the immediate family of a person who is affiliated with the University. When research is reviewed involving a category of vulnerable subjects, e.g., prisoners, children, individuals institutionalized as mentally disabled, the CHRS shall include at least one member who has as a primary concern the welfare of these subjects. The Director of ORSP shall serve ex-officio, as a non-voting member. An effort will be made to appoint members so that the CHRS will be sufficiently qualified through the experience and expertise of its members, the diversity of their racial and cultural backgrounds, and their sensitivity to community attitudes, so as to be respected for its advice and counsel in safeguarding the rights and welfare of human subjects.

To avoid conflicts of interest, a CHRS member shall not participate in the CHRS' review of any project in which the member is involved as a researcher or subject.

Functions

It is the responsibility of the University to safeguard the rights and welfare of subjects at risk in any research, development, or related activity in accordance with the Code of Federal Regulations (45 CFR part 46) which governs the protection of human subjects and which forms a basis of University policy.

All projects which involve human subjects and which are conducted at or sponsored by the University of Guam, regardless of the absence or presence of support, and regardless of who else may have revised them, must receive prior approval from the Committee on Human Research Subjects (CHRS).

This process of review and approval includes the consideration of the methods to be used in the collecting of data, obtaining informed consent, and protecting of the confidentiality of subjects. Since the "risks" to subjects are affected by these procedures, it is the responsibility of the principal investigator to be fully familiar with the Code of Federal Regulations (45 CFR 46) and with all applicable policies, rules and procedures regarding research at UOG. Guidelines and rationale for the process are available from the Office of Research and Sponsored Programs. A copy of the Code of Federal Regulations 45 CFR 46 is also available from this office. An assurance by the principal investigator that approved procedures will be followed in the conduct of activities involving human subjects is a requirement of the application for CHRS approval process.

The CHRS shall have the authority to suspend or terminate approval of research that is not being conducted in accordance with its requirements or that has been associated with unexpected serious harm to subjects.

The University's CHRS shall assist other Institutional Review Boards (IRBs) on Guam or at other colleges and universities, as requested, and provide joint review for any cooperative research projects covered by the Federal policy and involving more than one institution including the University of Guam. In the conduct of such cooperative research projects, each institutional IRB is responsible for safeguarding the rights and welfare of human subjects and compliance to the Federal Policy. The CHRS may enter into a joint review arrangement, rely upon the review of the other IRB, or make appropriate arrangements to avoid duplication of efforts and oversight.

Procedures

All projects involving research with human subjects, as defined in 45 CFR 46:102(f), require review by the CHRS. When it is not clear whether a project constitutes research as defined in 45 CFR 46:102(f) and, therefore requires review, the investigator should seek assistance from the CHRS or the Director of Office of Research and Sponsored Programs (ORSP). A decision will be made which rules that a research project is either **exempt** from review, or that it requires an **expedited** or **full** review under the provisions of 45 CFR 46. In the case of a revision to a previously approved research project involving human subjects, investigators have the responsibility to bring this revision to the attention of the CHRS and the same criteria for review will apply.

Principal Investigators are responsible for ensuring that all forms and documents are filled out completely and included in the application packet. The application packet should consist of:

1. a completely filled-in **Application for Approval of Studies Involving Human Subjects** (available from ORSP), with all sections of the form completed with specific and detailed information;
2. accompanied by at least **two (2)** copies of the research abstract/prospectus and methodology;
3. all surveys to be used in the study;
4. cover letter;
5. forms for informed consent and/or assent and the process for protecting confidentiality of subjects;
6. if the application packet is being considered by another IRB, include that application and approval letter;
7. for theses or dissertations, attach the methods section only and not the entire dissertation or thesis proposal;
8. if it is a dissertation or thesis from another university, that IRB must give approval first and the approval letter must be included; and if applicable,
9. the rationale for **exempt** status, must be submitted to the Office of Research and Sponsored Programs. If it is clear that the proposal involves more than minimal potential risk to human subjects, the Chairperson of the CHRS shall require from the investigator one (1) copy of the entire proposal, less any appended materials not necessary to the understanding of the project, to aid in the review process.

The Director of ORSP will forward completed proposals and additional materials as required to the Chair of CHRS. Barring extraordinary circumstances, a maximum of ten (10) workdays is required for **expedited** review and a maximum of twenty-eight (28) workdays is needed for a **full** review. In a full review, each member of the CHRS will be provided with a copy of the application and all submitted materials; therefore, extra copies might be required from the investigator. The investigator may be asked to attend a CHRS meeting to present the proposal, clarify relevant issues, or submit additional materials. After completion of the review, a memo and/or signed form will be forwarded to the investigator. All applications for review and appended materials will be filed in locked cabinets at the Office of Research and Sponsored Research and kept for at least three (3) years until the project is completed.

Definitions: (as provided in 45 CFR 46 with elaboration)

Should a question or conflict arise, the definition as provided in the federal guidelines will prevail. This expanded definition is offered to clarify “generalized research.”

Research: A systematic investigation, i.e., the gathering and analysis of information, designed to develop or contribute to general knowledge, or to solutions to an applied problem that is not specific (a) to teaching a University class within which the data are collected, or (b) to the duties of a University committee whose work directly serves the interests of the faculty, staff or students from whom data are solicited.

Human Subjects: Individuals whose physiologic or behavioral characteristics and responses are the object of study in a research project. Under the federal regulations, human subjects are defined as: living individual(s) about whom an investigator conducting research obtains: (1) data through intervention or interaction with the individual; or (2) identifiable private information.

Elements of Informed Consent

The following elements should be a part of any and all informed consent forms for studies involving human subjects:

1. A statement that the study involves research, an explanation of the purposes for the research and the expected duration of the subject’s participation, a description of the procedures to be followed and the identification of any procedures which are experimental.
2. A description of any reasonable foreseeable risks or discomforts to the subjects.

3. A description of any benefits to the subject or to others which may be reasonably expected from the research.
4. A disclosure of appropriate alternate procedures or courses of treatment, if any, that might be advantageous to the subject.
5. A disclosure of appropriate alternate procedures or courses of treatment, if any, to which confidentiality of records identifying the subject will be maintained.
6. For research involving more than minimum risk, an explanation as to whether compensation for medical treatments is available if injury occurs and, if so, what they consist of, or where further information can be obtained.
7. An explanation of whom to contact for answers to pertinent questions about the research, and an explanation of the research subject's rights and whom to contact in the event of research related injury to the subject.
8. A statement that the participation is voluntary, refusal to participate will involve no penalty or loss of benefits to which the subject is otherwise entitled, and the subject may discontinue participation at any time without penalty or loss of benefits to which the subject is otherwise entitled.
9. Any additional costs to the subject that may result from the participation in the research. A statement that significant new findings developed during the course of the research which may relate to the subject's willingness to continue participation will be provided to the subject.
10. The approximate number of subjects involved in the study.

Assent

“Assent,” is defined as an “agreement by an individual not competent to give legally valid informed consent (e.g. a child or cognitively impaired person) to participate in research.” (IRB Guidebook: http://www.hhs.gov/ohrp/irb/irb_glossary.htm). Assent is required from subjects who are either: 1) minors between the ages of 7 and 17 years; or 2) subjects 18 years or older who are intellectually or emotionally impaired and not legally competent to give their informed consent. Note that children below the ages of 7 years are generally not asked to provide assent. Minor subjects who are able to read and understand the informed consent document (parent's permission form) may provide assent on that form with a separate signature line; however minor subjects (age 7 or older) who are too young or intellectually immature to read and understand the parent's permission form should be given the opportunity to provide written assent on a simplified assent form. Also, adult subjects (18 years or older) who are not legally competent to give their informed consent should be given the opportunity to provide written assent on a simplified assent form.

The following should be included on the written assent form:

1. Study title
2. Study propose – provide a brief explanation of the purpose of the study.
3. Procedures – describe what the subject is being asked to do
4. Withdrawal privilege – describe how a subject can stop participation later even if he/she agrees to start
5. Voluntary participation – include a statement that the subject does not have to participate
6. Confidentiality – indicate that the experimenter will not tell anyone (parents, teachers) what the subject says or does in the study
7. Signature lines – include a signature line for the subject and for the investigator. Be sure to include a date line as well.

3. INSTITUTIONAL ANIMAL CARE AND USE COMMITTEE

The Institutional Animal Care and Use Committee (IACUC) is a subcommittee of Research Council. It reports to the Council and the Director, Office of Research and Sponsored Programs.

Membership

The Institutional Animal Care and Use Committee (IACUC) shall consist of five (5) persons. Individuals are recommended by the Research Council to the President who appoints the five (5) members. At least one of the members shall be a Doctor of Veterinary Medicine with training or experience in laboratory animal science and medicine. At least one of the members shall be a

practicing scientist experienced in research involving animals. At least one member shall be a person whose primary concerns are in a non-scientific area (for example an ethicist, lawyer or member of the clergy) and at least one person shall not be otherwise affiliated with the University nor be the member of the immediate family of a person who is affiliated with the University and who shall provide representation for general community interests in the proper care and treatment of animals. A single member of the Committee may fulfill more than one of the above stated roles. No more than three (3) members of the Committee shall be from the same administrative unit of the University.

Functions

The Committee shall inspect at least semi-annually all vertebrate animal study areas and vertebrate animal facilities of the University, shall review, as part of the inspection, practices involving pain to animals and the condition of animals to ensure compliance with the Animal Welfare Act, 7 U.S.C. §2143 et seq.; 9 C.F.R. 1, §2.31 and the standards of the United States Public Health Service as set forth in the Guide for the Care and Use of Laboratory Animals, and shall do all other things necessary to effectuate its role as the University's Institutional Animal Care and Use Committee as that term is defined by the aforementioned regulations.

Procedures

A quorum shall be required for all formal actions of the Committee. Upon completion of the semi-annual inspection, the Committee shall file with the Office of the Director of ORSP a report of the inspection signed by a majority of the Committee members involved in the inspection. The report shall include any findings of violation of the standards promulgated by the Secretary of Agriculture or the Public Health Service, shall include any minority views of the Committee, and shall remain on file for at least three (3) years. If any deficiencies are discovered as a result of the inspection, the Dean and/or Director of the facility shall also be notified and given an opportunity to correct the deficiency. If the deficiency remains after the Dean and/or Director of the facility has been notified of the deficiency and given a reasonable opportunity to correct the same, the Committee shall notify (in writing) the Animal and Plant Health Inspection Service of the U.S. Department of Agriculture, the funding federal agency and the Office of Protection from Research Risks of the National Institutes of Health. The Committee may also review and approve or withhold approval of those sections of Public Health Service applications or proposals related to the care and use of vertebrate animals.

4. ORSP PRE-AWARD PROCEDURES

ORSP will meet with interested Principal Investigators (PIs) to search for grants. Searches can be done through grants.gov, AASCU GRC, or other search engines by grantor agency websites. ORSP provides assistance in the submission of proposals by identifying contribution sources, reviewing budget accuracy, and ensuring compliance of grant applications with university policies and sponsor guidelines. Much of what occurs during the early stages of applying for grant funds affects ORSP's ability to manage a grant after it is received, therefore discussions and cooperation between the investigators and ORSP is encouraged in developing programs and proposals that receive funding.

- Proposal Preparation – Sponsoring agencies provide guidelines that describe the format and procedure that the proposal must adhere to. Discussions with ORSP in the development phase of the award is encouraged. ORSP can provide assistance with constructing budgets, cost sharing, and other related documents.
- Timeline – In order to ensure that proposals will be submitted to sponsoring agencies by the announcement deadline, please adhere to the following schedule: Final documents and attachments should be submitted no later than three (3) business days before the announcement deadline.
- Letter of Support – All UOG faculty involved in the grant proposal, including PI's and co-investigators, must submit a letter of support from their respective Dean/Director to ensure their approval.

- Proposal Submissions by Adjunct University Professors – If an individual with a less than full-time position wishes to submit a proposal, a full-time UOG faculty member must also be named as a co-investigator.
- Administrator Authorization – PIs must have the ORSP Transmittal form approved by Dean/Director in order to submit a grant. ORSP Transmittal form can be found in UOG ORSP website. Form can be found at <https://www.uog.edu/research/orsp-guidelines>

5. ORSP POST-AWARD PROCEDURES

- The Award Instrument – The Award Instrument formally acknowledges the award of funds by an authorized representative of the funding agency. ORSP will notify the principal investigator within two (2) business days of Notice of Award (NOA).
- ORSP Program management of funded projects – ORSP would be the liaison between the sponsoring agency and the project team. ORSP will offer guidance for requesting for additional funding, no-cost extensions, preparing documents, and other grant related needs. ORSP adheres to University of Guam Research Corporation (RCUOG) and the University's fiscal accountability policy for sponsored-projects funds and regulatory compliance with local and federal policies. Expenditures and financial transactions will be reviewed to make certain that award terms and conditions are met.
- Budget Reports and Financial Reports – The Program Director (PD) or PI are responsible for monitoring the awarded budget. Real-time monthly expenditure reports are available upon request to ORSP. An account availability report summarizes the account's budget and actual activity to show the budget available for future activity. The detailed budget shows the detailed transactions that occurred throughout grant year periods.
- Progress Reports/Final Reports – External funding requires recipients to report periodically on the progress of supported project. Reporting information are included in award documents. PD or PI are responsible for preparing and submitting progress/final reports to grantor agency.
- Time and Effort Reporting – Time and effort provide auditors with proof that grant personnel has devoted the necessary time and effort for respective projects. Time and effort should be submitted bi-weekly for grant hires.

6. PRINCIPAL INVESTIGATOR DUTIES AND RESPONSIBILITIES

[INTERIM STATEMENT APPROVED BY ASSISTANT VICE PRESIDENT, GSRSP, DR. JOHN PETERSON, NOVEMBER 2010]

INTRODUCTION

The University of Guam's institutional mission addresses three primary foci: teaching, research, and outreach pertinent to the western Pacific region. While scholarly work, research and the publication of research findings are required for tenured faculty promotion, the University encourages all eligible personnel to seek external funding and engage in projects related to the mission and goals of the University.

The Office of Research and Sponsored Programs (ORSP) supports faculty members and eligible University personnel to conduct research activities in collaboration with the various Micronesian colleges, as well as, select public and private agencies locally, nationally, and internationally.

POLICY STATEMENT ON DUTIES

The intent of this statement is to provide guidance with procedures that must be followed in conducting externally sponsored projects or managing campus program accounts through the UOG and to identify individuals and areas within the institution that can provide assistance and answer

questions Principal Investigators may have regarding these requirements. As a resource, this statement supplements and does not replace existing policies and procedures of UOG.

A PI (sometimes known as Project Director or Responsible Person) has the responsibility to be aware of all matters contained in this policy statement, to ask questions, to alert the appropriate administrator of any risks or issues related to the program, and request assistance from the ORSP in the undertaking of projects, to effectively train and supervise project personnel about those matters that are appropriate for each employee to know and to adhere to.

PIs operate under the supervision of an administrator, normally, a dean or director. It is the PI's duty to continuously exercise responsible judgment in the administration of the project from the inception through the close out. The PI is accountable and responsible to the Dean or Director and Director ORSP for ethical conduct, accuracy of time and effort reporting, and quality performance for the grant or contract.

The first step is to prepare a proposal for a grant, contract, or Request for Proposal (RFP). Any program or proposal that uses any University of Guam resources must have the written approval of the appropriate administrator. Faculty time is a resource, and as such, approval in writing must be obtained from the faculty member's dean or director for participation on a grant or contract. When the proposal is ready, the complete narrative and a budget must be submitted in time for a review by the faculty member's dean or director and the RSP (for form accuracy and budget). Upon their approval the grant or contract may be submitted. If there are questions about submission of grants, please contact the ORSP. For grants, normally a scientific review and scoring summary is provided as feedback. These reviews will be kept at the ORSP for future use.

Once an award has been received, a campus program account will be established at the Research Corporation, University of Guam (RCUOG) or at the UOG Business Office. The PI is responsible to send, via ORSP, a copy of the proposal, the award letter, and any other information to the RCUOG or UOG Business Office. Once a campus program account is established, PIs assume primary responsibility for the technical (or programmatic) conduct, the administration of the funds, and the general management of the project to assure contractual/award terms and conditions are met, all Government of Guam rules (such as procurement) are followed, all RCUOG and UOG policies (travel, etc.) are adhered to and ensure sure the project stays within budget.

Upon the completion of the project, the PI will submit all final reports. A copy must also be submitted to the ORSP, including copies of all published papers, outcomes or reports produced during the term of the project or using data produced by the project.

GENERAL RESPONSIBILITIES

In conducting a sponsored project, performing work under a contract, or operating under a campus program account, PIs responsibilities include but are not limited to the following:

Ongoing Responsibilities:

- Communicate regularly with ORSP;
- Attend and ensure all staff also attend training sessions offered by the ORSP to ensure up-to-date information on project administration requirements;
- Administer the grant or contract, including time and effort reporting;
- Ensure ethical conduct with regard to research and management of the grant or contract;
- Provide technical and academic direction for the grant or contract;
- Supervise staff and others working under the auspices of the grant or contract;
- Ensure accountability to the units involved, including ensuring that a Cross-Unit Load Form at <https://www.uog.edu/research/orsp-guidelines> is approved: communicate with home unit and unit housing the grant, communicate with the RCUOG or UOG Business Office and communicate with the ORSP;
- Sign off on all requests for hiring;

- Ensure signatures and routing of documents are done correctly to demonstrate transparent and accessible flow;
- Maintain time and effort reporting and oversee submission of timesheets.

Pre-Award:

- Thoroughly review and follow sponsor guidelines and Request for Proposal (RFP);
- Communicate to the ORSP of PIs intent to submit a proposal and begin completing Forms;
- Prepare a proposal, including a budget, in accordance with sponsor guidelines and applicable laws and regulations;
- Identify any special needs for compliance, any potential conflicts of interest and/or Intellectual Property, IRB requirements;
- Obtain collaboration letters from any anticipated collaborator or consultant on the proposed project;
- Obtain the written approval of the administrative supervisor of any current employee named in the grant or contract;
- Once the PI receives written notification/approval from the ORSP the proposal may be submitted to the sponsor.

Post-Award Responsibilities:

- Notifies the ORSP when the PI receives award notification from the Sponsor and forward the award document to the ORSP for processing;
- Review the award document for technical and administrative accuracy and appropriateness;
- Responsibly oversee, in coordination with RCUOG or UOG Business Office and the ORSP, project funds, including expending funds within the projected period and within designated budget categories, following all RCUOG and UOG policies;
- Complete and submit technical or progress reports according to established time schedules;
- Ensure timely evaluation and review by unit housing grant and the ORSP;
- Maintain Time/Effort reporting for grant activities;
- Maintain business and activity reporting with signature approval by PI, Dean/Director, Legal Counsel, Director RSP, and SVP and President where appropriate.

ELIGIBILITY TO BE A PRINCIPAL INVESTIGATOR

- PIs must be qualified to submit an award, as defined by the appropriate funding agency;
- PIs must have completed training for PIs that is offered on a regular basis by ORSP or another external agency;
- PIs must have solid commitment to the University, including a desire to serve the University;
- PIs must have a binding relationship to the University community through appointment or contract through at least the period of the grant or contract.

DISQUALIFICATION OF A PRINCIPAL INVESTIGATOR

- A PI may be disqualified by the University and may not submit grants or work on contracts for a period of time as defined by the Research Council;
- Rules and regulations for such disqualification, the process and procedures will be developed by the Research Council;
- Upon disqualification, the Research Council will provide a development plan to the PI, which, when completed, will allow the employee to again submit grants or work on contracts. Such a plan may include training, mentoring, or other activities designed to prepare a person for the responsibilities of a PI.

7. GUIDELINES FOR ACADEMIC PERSONNEL COMPENSATION FOR GRANTS AND CONTRACTS, TEACHING OVERLOADS, AND EXTRACURRICULAR EMPLOYMENT [FORM APPROVED BY ACTING PRESIDENT, DR. ANITA ENRIQUEZ, 07/09/2015]

UOG's faculty employment guidelines implement federal policy for the management of grants and contracts as provided in the Office of Management & Budget (OMB) "Super Circular" or "Omni Circular" and is codified at 2 CFR Part 200. 2 CFR Part 200 affects Federal awarding agencies and "non-Federal entities" including non-profits, state and local governments, Indian tribes, and Institutes of Higher Education (IHE) that receive Federal assistance awards as a recipient or sub recipient, as well as their auditors. Academic personnel effort, compensation, and benefits are constrained by these policies and must be in compliance with these requirements.

UOG faculty may be either on a 9-month, 12-month or adjunct basis. While other academic personnel are normally hired on a 12-month basis, if academic personnel are on a 9-month basis, then they may work an additional 30% outside the 9-month academic year to match a 12-month equivalent. This provides parity as agreed in the BOR/Faculty Union Negotiated Agreement (2013). This salary then becomes the base rate. Faculty base rate is the 12-month equivalent of the salary. In cases where an hourly rate is needed, the hourly rate would be the 12-month salary divided by 2080 working hours in a year.

Federal grants subject to Office of Management & Budget (OMB) "Super Circular" or "Omni Circular" and is codified at 2 CFR Part 200 are very specific about academic personnel compensation. Academic personnel working on federal grants may charge a proportionate share of their base salary to the grant, but faculty may not increase their total compensation by working on a grant. The salary charged to the grant is based on their regular, annual compensation. All academic personnel time on these grants must be reported as time and effort consistent with the proportion of their normal 100% load and as invoiced to the funding agency. The academic personnel compensation base rate, as determined above, may not be exceeded for any percentage of the annual salary. Academic personnel effort may not exceed 100% per year on grants subject to these OMB cost principles.

Faculty may receive compensation from the grant in one of two ways: 1) Summer/inter-term salary (for 9-month faculty), up to 30% of the annual salary base rate; or 2) Salary buyout, invoiced to the grant as a percentage of the annual salary on a time and effort basis, reducing local funds applied to the salary. In any of these, time and effort must be accurately reported for the grant activity other fixed-fee grants and contracts, and other grants may be more flexible, but such cases require specific written approval by the granting authority. For example, faculty may subcontract with the University of Guam for services beyond 100% effort upon approval by the Dean/Director/Senior Vice President when the Dean/Director/Senior Vice President determines that such a contract does not impact their regular employment and when the funding entity has provided specific written approval. In such circumstances the faculty member may work an additional 25% through the University above the 12-month base rate. Overload, intersession and summer session payments must be taken into account when calculating the additional 25%. These extracurricular activities must be consistent with the conflict of commitment guidelines for faculty employment.

Academic personnel may also undertake extracurricular employment so long as it is not a conflict of commitment. For example, 12-month academic personnel with the approval of the Dean/Director/Senior Vice President, may commit up to one day out of seven on average to additional effort or extracurricular employment, when approved in advance by the Dean/Director/Senior Vice President, so long as there is not also a conflict of interest.

Teaching overload is not an entitlement but may be allowed when the Dean/Director/Senior Vice President determines it is necessary and when the faculty member's CFES plan outcomes and effort continue unaffected. Teaching overloads may be compensated by the University consistent with the University policy on conflicts of commitment and interest and the guidelines that cap overloads at 0.50 Teaching FTE per semester (2 three-credit courses). If teaching loads are identified in the faculty CFES as part of their current load, they will not be further compensated as overloads.

Employment and self-employment are governed by (Article IV.C.3 of the RRPM ????) and Article IV.N of the BOR-Faculty Union Agreement. The Dean/Director/Senior Vice President is responsible for determining whether any conflict of interest or conflict of commitment exists.

All self-employment and all non-university employment shall be reported each year at the beginning of the academic year (August) on the “University of Guam’s Annual Disclosure Form for Conflicts of Commitment/ Interest.” All such employment must be approved by the Dean/Director/ Senior Vice President on the faculty load form. Activities must be disclosed in advance and may not be started without prior approval by the Dean/Director/ Senior Vice President. These documents must be amended as this employment changes. The Dean/Director/ Senior Vice President will submit the annual reports to the ORSP and HRO as well as notifications of significant changes in employees’ workload.

Final approval for any compensation rests with the President of the University of Guam.

8. GUIDELINES FOR BUYOUTS, CLOSE-OUTS, AND INDIRECT DISTRIBUTION FOR GRANTS AND CONTRACTS [FORM APPROVED BY ACTING PRESIDENT, DR. ANITA ENRIQUEZ, 07/09/2015]

Buyouts are charges to grants and contracts that are then applied to salaries from extramural sources in place of local funds for salaried employees. Time and effort reports on grants and contracts are used as the basis to invoice funding sources; on receipt the funds replace the local funds which are then directed to non-appropriated funds (NAF) accounts. 30% of buyout amounts are directed to the Senior Vice President (SVP), 50% are directed to the Principal Investigator (PI), 20% to the where funds will be available to the faculty member for professional development or grant support, as approved by the authorizing administrator. “Directive on Buyouts” approved by President, dated September 7, 2016 found at <https://www.uog.edu/research/orsp-guidelines>

Close-outs are unexpended funds remaining in fixed price, lump-sum contracts that have not been encumbered or expended by the date of the end of the contract. When the contract deliverable has been completed to the satisfaction of the funder, and this is documented in writing, then the remaining funds will be distributed 25% to the SVP, 25% to the AVP, and 50% to the unit supporting the activity.

The Facilities and Administration (F&A), or indirect charge, on grants and contracts is currently 41% against total cost, as audited by Department of Health and Human Services, February 6, 2018. The indirect rate may vary according to the requirement of the funding source, but the audited rate is acceptable to most federal agencies. The off-campus rate is 20% against total cost. These rates are subject to change every few years.

Indirect paid by funding sources to UOG is distributed following BOR Resolution No. 16-32 as follows:

- 12% will be deposited into a Facilities and Administration Costs account for purposes of fiscal soundness and general operations; and
- 38% will be deposited to the Unit generating the grant for purposes of research support and incentive with the minimum of 50% of this amount going to the Principal Investigators (PI’s); and
- 30% will be deposited to the President’s Development Fund; net of \$25,000 annually retained by the Board, for funding academic excellence initiatives, strategic planning, support for faculty and staff development and institutional development; and
- 20% will be deposited to the RCUOG for the purpose of funding general operations of the Research Corporation with a near-term goal of self-sufficiency within three (3) years.

The Unit share should be divided 50% to the Unit and 50% to the PI on the grant or contract, as agreed by the Dean/Director or Director, ORSP.

The ORSP operates on a share of various charges equal to approximately \$100,000/year to support contract services for compliance activities and research development, PI training, and travel.

As the total amounts due the Unit and to the University annually are variable, the percentage distributed to ORSP from the total annual amounts will vary. Typically, a proportionate distribution of

4% from among the President, Facilities and Administration Costs account, and the Units should be provided to ORSP annually.

9. GUIDELINES FOR TIME AND EFFORT REPORTING

[FORM APPROVED BY ACTING PRESIDENT, DR. ANITA ENRIQUEZ, 07/09/2015]

Purpose

To document personnel service charges to Federally funded sponsored programs and outline the responsibilities for generating, approving and utilizing the time and effort report as required by Federal government agency audit regulations. This guideline is in concert with Office of Management & Budget (OMB) Super Circular or Omni Circular with regard to confirming that charges made to the payroll system “reasonably reflects” each employee's activity. The Time and Effort (T&E) Report is prepared by the respective Units or Departments and sent to the Payroll Section of the RCUOG or UOG Comptroller's Office each pay period.

Policy

OMB's Budget's Super Circular or Omni Circular requires the documentation of personnel services charged to sponsored agreements. Super Circular or Omni Circular requires after-the-fact reporting of the percentage of time each employee spent on all grants and contracts compared to total time (effort). This guideline assists RCUOG, University Payroll and UOG Business Office in ensuring the proper allocation and distribution of personnel time and effort in submitting accurate reporting of such activities. This guideline facilitates proper administrative management of grant/contract awards and ensures compliance with sponsoring agency regulations and federal guidelines with respect to charges for work performed on sponsored agreements. This process is commonly known as “Time and Effort Reporting.”

Guidelines for Time and Effort Reporting Preparation

1. The Time and Effort (T&E) report shall be prepared by each covered employee and shall be updated daily. The report should reflect how a person spent his or her total time (effort).
2. The timekeeper is responsible for reconciling the hours worked with hours submitted to Payroll for payment.
3. The timekeeper shall ensure that a bi-weekly T&E report from the department's covered employees shall accompany the timesheets submitted to Payroll.
4. The timekeeper shall ensure that the T&E report shall contain the following required signatures: a) the employee as the preparer, b) the Principal Investigator or responsible official who certifies the percentages allocated to each activity and the reasonableness of the work performed, and, c) the Departmental Head or Administrator who confirms that the effort expended was for the sole purpose of the grant agreement. This is to be **updated daily**.
5. The timekeeper shall ensure the following distribution of the bi-weekly T&E report: Original: Payroll One Copy to each of the following: Comptroller's Office; HRO and ORSP.
6. The PI and timekeeper are jointly accountable for the timely preparation and integrity of time and effort documentation.

10. GUIDELINES FOR COMPLETING ANNUAL CONFLICTS OF INTEREST

[FORM APPROVED BY ACTING PRESIDENT, DR. ANITA ENRIQUEZ, 07/09/2015]

The Conflicts of Interest or Commitment form should be filed by January 10 of each calendar year with your immediate supervisor. All forms will be forwarded with comment to the Senior Vice President within 30 days of filing.

WHO SHOULD FILE: All faculty, administrators, and persons responsible for committing or managing University of Guam (University) resources should file an annual disclosure form and also give immediate notice of any significant material change during the year. Note for Faculty: Must include form with each new CFES Plan and Annual Review submission.

University of Guam Conflict of Interest or Commitment Disclosure Form can be found at <https://www.uog.edu/research/orsp-guidelines>

CONFLICT OF INTEREST OR COMMITMENT:

"A conflict of interest exists when an individual has an external interest that affects or provides an incentive to affect the individual's conduct of his or her University activities. Conflicts of interest can arise naturally from an individual's engagement with the world outside the University, and the mere existence of a conflict of interest does not imply wrongdoing on anyone's part. When conflicts of interest do arise, however, they must be recognized, disclosed and either eliminated or properly managed."¹ Examples of this include board or commission appointments, relations between faculty or staff and students that confer private advantage, or fiduciary relationships that either affect the economic interests of the University or that do not involve the institution per se. The latter may, however, constitute an *Apparent Conflict of Interest* and should be disclosed.

A University employee should disclose any fiduciary or other interest(s) that might affect his/her employment or the interests of the UOG.

"A conflict of commitment occurs when the commitment to external activities of a University employee adversely affects his or her capacity to meet University responsibilities. This form of conflict is easily defined and recognized since it involves a perceptible reduction of the individual's time and energy devoted to University activities."² Examples of this include part-time or full-time employment outside the University, private consulting more than one day out of every seven days, service on boards or commissions not in the University's interest.

I. Compensated/Uncompensated Activities:

A University employee should disclose any compensated or uncompensated activities outside University employment that involves a perceptible reduction of the individual's time and energy devoted to University activities.

II. Outside Financial Interests and Relationships:

An employee should disclose if (s)he or any members of employee's immediate family received any payments (including honoraria or royalties) for employment, consulting, board membership, or other relationship with, or have an ownership or equity interest in, any company or other entity that has a relationship with employee's University activities in any way, such as: the company/entity/sponsors research or teaching activities in which employee is directly involved; the company/entity has made gifts to the University which are under employee's control or directly benefits employee's research or teaching activities; the company/entity has products or research interests that could benefit significantly from employee's research activities; the company/entity licenses University intellectual property in which employee has any interest as an inventory; the company/entity sells materials or services to the University that are used in employee's research or teaching. (Adopted from MIT)

III. Family/Domestic Partnerships at the University:

An employee should disclose the name(s) of all immediate family or domestic partnership relationships at the University, including the assigned unit and location of employee's immediate family member or domestic partner.

Questions regarding completion of the Conflict of Interest or Commitment Form should be directed to the respective supervisor, Dean or Director, or to the Administration.

^{1,2} Office of the provost Yale University Policy on Conflict of Interest and Conflict of Commitment. www.yale.edu/provost/html/coi.html

11. INTELLECTUAL PROPERTY POLICY

Please refer to University of Guam Rules and Regulations Policy Manual.

12. ORSP FORMS <https://www.uog.edu/research/orsp-guidelines>

Transmittal Form

University of Guam Conflict of Interest or Commitment Disclosure Form

Cross-Unit Form