

***Policies for Proposals, Acceptance, and Use of  
Externally Funded Grants and Contracts  
and  
Policies for the Conduct of Research***

Prepared for

By

<http://www.una.edu/sponsored-programs>

Nathan Willingham  
Director, Office of Grants and Sponsored Programs  
[cnwillingham@una.edu](mailto:cnwillingham@una.edu)  
Box 5187  
Florence, AL 35632-0001  
(256) 765-4607

Table of Contents

**1 General Policies ..... 5**

**1.1 Mission Statement. .... 6**

**1.2 Organization of the Office of Grants and Sponsored Programs. .... 6**

**1.2.1 OGSP Primary Roles and Responsibilities. .... 6**

**1.2.2 Relationship to Grants and Contracts Accounting. .... 6**

**1.2.3 Supplemental Guidance and Official Websites. .... 6**

**1.3 Fidelity to Law, Regulation and Contract Obligations..... 7**

**1.4 Principal Investigator’s Responsibility for Proposal Development and Award Administration; OGSP and OGCA to Assist..... 7**

**1.5 Assumption of Responsibility..... 7**

**1.6 Subrecipient Monitoring. .... 7**

**1.7 Official Communications..... 7**

**1.8 Compliance Policies. .... 8**

**1.9 Adoption and Amendments..... 8**

**1.10 Acronyms..... 8**

**1.11 Definitions..... 8**

**1.11.1 Principal Investigator (PI), Co-Principal Investigator and Faculty Participants: the**

s33.3010.n &...90 BDC 0.0.001 T14.....14.....

ats16.9620.n &...90 BDC 0.0.001 T16.001 Tw 7.82 0 Td(.....)Tj(....16..... 1 Tf0 Tc 0 Tw-4)2579Tf0 12 0 Tw 2

2.4.2	<b>Budgets to Be Approved.</b>	10
2.4.3	<b>Treatment of Direct and Indirect Costs to Be Consistent.</b>	10
2.4.4	<b>Cost Sharing.</b>	10
2.4.5	<b>Cost share in excess of \$250,000 per year (\$500,000 aggregate) per vendor to be approved by the University Board of Trustees.</b>	10
2.4.6	<b>Cost Share Tracking.</b>	11
2.5	<b>Personnel Considerations for Proposals.</b>	11
2.5.1	<b>Salary to Include Allowance for Fringe Benefits.</b>	11
2.5.2	<b>Salary Budgets to Reflect Estimate of Time and Effort and Base Salary Rate.</b>	11
2.5.3	<b>Institutional Base Salary and Institutional Base Salary Rate.</b>	11
2.5.4	<b>Academic Year Defined.</b>	11
2.5.5	<b>Federal Grants Prohibited from Increasing Institutional Base Salary during Academic Year.</b>	11
2.5.6	<b>Payment of Extra Service Pay to Faculty During the Academic Year.</b>	11
2.5.7	<b>Payment of Stipends to Faculty for Periods Outside the Academic Year (Summer Pay).</b>	11
2.5.8	<b>Intra-Institution of Higher Education Consulting.</b>	12
2.5.9	<b>Course Releases.</b>	12
2.5.10	<b>Restrictions on Salary Expenditures by Certain Agencies.</b>	12
2.5.11	<b>Level of Effort Required for Grants and Sponsored Programs Permitting Direct Salary Payments (Cost Share and Voluntary Committed Cost Share).</b>	12
2.5.12	<b>Level of Effort Required for Programs Without Cost Share Requirements or That May Limit Direct Salaries (Voluntary Uncommitted Cost Share).</b>	12
2.5.13	<b>Restrictions on Direct Charges for Clerical and Administrative Staff.</b>	13
2.6	<b>Indirect Cost Considerations for Proposals.</b>	13
2.6.1	<b>Proposals to Include Indirect Cost Recovery.</b>	13
2.6.2		

2.7.8	Scholarships. ....	15
2.7.9	Office of University Advancement and UNA Foundation Involvement in Awards. ...	15
3	Post Award Management and Compliance Policies .....	15
	<b>Introduction.</b> .....	15
	<b>3.1. Establishing a New Award.</b> .....	15
3.1.1	PI to Notify OGSP of New Award. ....	15
3.1.2	OGSP to Coordinate Acceptance.....	15
3.1.3	OGSP to Participate in Any Contract Negotiations.....	15
3.1.4	OGSP to Request Banner Account.....	16
3.1.5	PI to Participate in Kickoff Meeting with OGSP and OGCA.....	16
3.1.6	PI to Execute Statement of Agreement or Assignment Approvals.....	16
3.2	Time and Effort Reporting.....	16
3.3	Financial Oversight.....	16
3.3.1	The Principal Investigator to Monitor Budgets, Obligations, and Expenditures. ....	16
3.3.2	Regulation of the PI's Budgets, as Fiscal Officer. ....	16
ers	.....202.....	

ers

.....  
.....  
.....

The Office of the University Advancement and UNA Foundation Involvement in Awards, as Fiscal Officer, 2020-2021 (E)-0.6 4 (o)-3.ro)TTT0 1

The University of North Alabama, through the [Office of Grants and Sponsored Programs](#) (OGSP), supports the acquisition of external grants and contracts to help University faculty and staff fully participate in research and service activities. The OGSP helps faculty and staff with associated grant and contract pre-award activities such as locating funding sources, reviewing proposals, obtaining appropriate endorsements, and other related efforts. The OGSP also participates in the post-award administration of grants and contracts as well as maintaining and administering such institutional policies as the Intellectual Property Policy, policies of the Institutional Review Board for research involving human subjects, Research Misconduct and Conflict of Interest policies, and the Continuing Professional Development Policy.

appropriate legal, administrative, or financial personnel. While procedures may vary in some circumstances, deviations from UNA policy will not be allowed.

procurement and the Controller to be subsequently incorporated, as appropriate, into these policies and procedures.

The UNA OGSP will operate within the authority provided by federal, state, and local law and regulation and the requirements of contractual obligations within awards. The OGSP will not deviate from the reqo (r)-t7.3dm61.7 (he)0.9 (ill)-68 (e)0(

documentation or recordkeeping responsibilities of the OGSP and OGCA. The Office of Grants and Contracts Accounting shall receive and transmit all financial reporting. Other official communication will be transmitted by the Director of Grants and Sponsored Programs. PIs are encouraged to include OGSP in routine communications affecting award administration, as well as OGCA in correspondence affecting budgets and financial affairs.

All grants and sponsored programs will follow The University of North Alabama's Drug-Free Workplace Policy; Policy on Conflict of Interest/Financial Disclosures in Research and Other Sponsored Programs; Human Subjects Research Policy; Animal Use Policy; Policy for Record Retention, Data Management, and Ownership; Research Misconduct; and Research Ethics Policy.







sharing required.

Salaries and other costs provided as mandatory committed or voluntary committed cost share shall be documented and accounted separately from other departmental expenditures.

The following policies relate to personnel costs included in proposals, including financial and administrative requirements for funding personnel costs in grants and sponsored programs.

All salary budgets must include an allowance for a proportionate share of fringe benefits to be paid as direct costs from grant direct funds.

All salary budgets are to reflect the employee's effort to be compensated from grant funds as a proportionate share of the employee's institutional base salary.

Institutional base salary (IBS) is the total compensation provided to University personnel for the period of their annual employment contract (typically 9-months or 12-months). IBS includes any administrative supplements such as compensation received as chair of a department.





Affairs. Where indirect costs are reduced or disallowed, the Department Chair or Dean or Cost Center Head may authorize OGSP to capture and transfer a portion of the PIs indirect cost share from any program in order to pay departmental overhead and indirect costs of grants.

The following policies apply to other considerations which may be important for proposal development.

Every proposal must anticipate the data collection, storage, and retention needs of the project. Federal regulations require retention of financial and research data for a minimum of 3 years; however, agency or research-specific aims may require longer periods, and specific events may trigger longer retention requirements. Many proposals require a formal data management plan. Regardless of the requirement to submit a data management plan, each proposal should anticipate the requirements of the funder and the university about the physical, digital, or other storage of financial and other related data, as well as the retention of results upon separation of the PI from UNA service. All data management shall be compliant with the UNA Policy for Record Retention, Data Management, and Ownership.



Upon acceptance of an award, OGSP will provide a copy of the signed contract or award agreement, a copy of the award budget, budget narrative, and a request to establish an account for financial management in Banner to the Controller's Office, which will initiate the establishment of the fund by OGCA.

Indirect costs that have been negotiated with the sponsor or internally must be indicated prior to the establishment of a new Banner account.

. As soon as practicable following the establishment of a new award, the PI and his/her administrative assistants, if any, as well as any other person to be involved in the management of the award, shall meet with the Director of OGSP and the Office of Grants & Contracts Accounting to hold a kickoff &&&&J247 (v2110 ot)4.6 ( t)359ong( )Tj0.002





The PI is responsible for initiating all payment requisitions. Guidelines and forms for Payment Requisitions can be found at the website of the UNA [Controller's Office](#).

PIs are responsible for managing purchases made with a P Card issued for an account using grants or sponsored programs. The PI is solely authorized to make purchases with the P Card. Proxies may be allowed to upload supporting documents, but these must bear the signature or electronic approval of the PI to ensure the charges were properly authorized.

The PI is responsible for authorizing Purchase Order Requisitions. Procedures for Purchase Order Requisitions may be found on the website of the UNA [Purchasing Office](#).

Invoices must be approved by the PI prior to payment. Procedures for the Payment of Invoices may be found on the website of the UNA [Purchasing Office](#).

The PI's signature must accompany all travel requests along with the signature of the traveler (if other than the PI) and all

internal approvals have been granted for that action. Activities affecting budgets, whether or not these require prior approval, must be disclosed to OGSP prior to authorizing any expenditure of funds.

Recipients are often allowed to make minor revisions to budgets under agency's standard terms and conditions or as a result of agency policy. Changes outside of the allowable alterations require prior approval of the funder.