

## Research Compliance

The Office of Research Compliance (ORC) provides operational and regulatory support to USM's research community and to the following five review committees. Phone 780-4268 with all inquiries concerning policies and procedures for research compliance and basic guidance. For more information, please see ORC's website at <http://www.usm.maine.edu/orc>

### ***Institutional Review Board (IRB) (Marjorie Lawson, Chair)***

The IRB reviews all research involving human subject participants. The IRB serves as the primary institutional body to protect the rights, welfare, and privacy of individuals recruited to participate in human subjects research conducted at USM or affiliates of USM. The IRB is comprised of USM faculty, staff, and community members who ensure that research involving human subjects is well-planned, ethical and in accordance with Federal regulations. Privacy and security issues of persons involved in research are also reviewed by the IRB.

### ***Institutional Animal Care and Use Committee (IACUC) (David Harris, Chair)***

The IACUC reviews all research, teaching, and testing involving animals. The IACUC is comprised of USM faculty, staff, community members, and an attending veterinarian who oversee the well-planned, humane care and ethical use of animals at USM. All animal use research protocols must be reviewed and approved by the IACUC prior to ordering, breeding or using animals in research, teaching or testing to ensure compliance with all Federal regulations.

### ***Institutional Biosafety Committee (IBC) (Richard Budd, Chair)***

The IBC reviews all research involving recombinant DNA (rDNA); human blood, tissues and fluids; transgenic animals and plants; research involving Select Agents; and research involving biological agents in Risk Groups 2, 3 and 4. The IBC is comprised of USM faculty, staff, subject matter experts, and community members who ensure that research involving biological agents is well planned, safe and ethical and is in accordance with Federal regulations.

### ***Radiation Safety Committee (RSC) (Monroe Duboise, Chair)***

The RSC oversees the use of ionizing radiation on campus and ensures compliance with state and federal regulations to protect USM employees, students, the public, and the environment. The RSC, in conjunction with the Office of Campus Environmental Safety and Health, provides safety related services for USM. All protocol reviews are conducted in accordance with Federal & state regulations.

### ***Institutional Privacy Committee (IPC)***

The IPC is an Ad Hoc advisory committee responsible for evaluating research privacy and security concerns and for providing technical expertise to the other review committees. One of the primary areas the IPC deals with is the Health Insurance Portability and Accountability Act of 1996 (HIPAA) and its impact on research at USM.

The University of Southern Maine shall not discriminate on the grounds of race, color, religion, sex, sexual orientation, national origin or citizenship status, age, disability, or veteran's status in employment, education, and all other areas of the University. The University provides reasonable accommodations to qualified individuals with disabilities upon request. Questions and complaints about discrimination in any area of the University should be directed to the executive director, Office of Campus Diversity and Equity, 780-5094, TTY 780-5646.

# Promoting and Managing External Funding at USM 2007-2008

## OSP Website

<http://www.usm.maine.edu/osp>

## OSP Location

5th Floor - New Science Wing - Portland

Office of Sponsored Programs  
Main Number: 780-4411  
FAX: 780-4927



UNIVERSITY OF  
SOUTHERN MAINE

A member of the University of Maine System

## Why Seek External Funding?

The ultimate goal of the University of Southern Maine (USM) is to provide high quality education to each of our students. Often this goal can be facilitated by securing funding from outside sources for research and educational projects. By keeping abreast of and developing new knowledge in your field, you will be able to bring fresh approaches and new insights to students. In addition, research projects may contain positions for undergraduate or graduate assistants, thus providing students with an opportunity to apply their learning to solving problems while gaining experience.

Faculty members who conduct externally funded projects also receive tangible benefits. Equipment and supplies which may be necessary for teaching or research, but which may not be available through departmental budgets, often can be supplemented through research projects. Travel to conferences, when relevant, could be a part of an externally funded research project. In some cases a faculty member may be able to obtain a summer salary and/or additional academic year support or release time from teaching to pursue a research project. Finally, externally funded projects may provide opportunities to engage in professional activities or publishing that directly relate to established criteria for promotion or tenure.

The University benefits from the externally funded grants. Receipt of a grant is an honor that enhances the reputation of the faculty member and the University; it says that a panel of peers considered a project worthy of funding. The University received more than \$45 million in awards in 2006-2007.

## What is the Role of the Office of Sponsored Programs?

The Office of Sponsored Programs (OSP) is responsible for encouraging externally-funded initiatives in support of program-related activities of academic, research, and development units; and serves as the major resource to faculty and staff who wish to pursue such projects. OSP maintains information on and promotes an awareness of funding opportunities, assists in refining project ideas and matching them up with potential sponsor priorities and requirements, and helps in the preparation of financial and administrative sections of proposal submissions.

OSP is also responsible for administering all externally-sponsored projects after an award is received. This includes review and approval of all award documents and the continual monitoring of projects to assure compliance with award conditions.

## Current Research Highlights

During 2006/2007, 251 proposals and 167 awards were administered through the Office of Sponsored Programs.

Expenditures of extramural funds in 2006/07 are approximately \$43.2M with \$4.7M being recovered in indirect costs.

## Benefitting from Rejection

The notification letter from the funding source may include some indication as to why your application was rejected. However, you can also call or write the program officer who handled your application to try to get more specific feedback. Often they can consult the notes of review panel meetings and pass on more details about the kinds of reactions panelists had to your application and what qualities the reviewers were seeking in those applications they recommended for funding.

## OSP Staff

Larry Waxler  
*Director*  
780-4413  
larryw@usm.maine.edu

Shannon Graves  
*Administrative Assistant*  
780-4411  
sgraves@usm.maine.edu

Melody Martin (part time)  
*Manager of Funded Accounts*  
228-8354  
mmartin@usm.maine.edu

Cathy Dionne-Gass  
*Associate Director of  
Post-Award Services*  
780-4412  
cdionne@usm.maine.edu

Lynn Ann Rollins  
*Associate Director of  
Pre-Award Services*  
780-4873  
lrollins@usm.maine.edu

Tracey Mousseau  
*Staff Associate  
for Research Administration*  
228-8278  
mousseau@usm.maine.edu

Ann Siteman  
*Contracts & Grants  
Accountant*  
780-4859  
asiteman@usm.maine.edu

Martha Scott  
*Financial & Administrative  
Coordinator*  
780-4518  
mscott@usm.maine.edu

Fritz Baetz  
*Contracts & Grants  
Accountant*  
228-8542  
fbaetz@usm.maine.edu

Judy Carter  
*Database Specialist*  
780-4871  
jacarter@usm.maine.edu

just as concerned with a successful outcome as you are. OSP should be consulted prior to any requests for a change to the sponsor and should be provided with copies of any correspondence. The dean should also be consulted and kept abreast of any such changes.

## Reporting

The project director/principal investigator is primarily responsible for complying with all reporting requirements. Failure to do so can jeopardize future awards to the University. Financial reports will be prepared with the assistance of the OSP.

## Closing a Project

At the end of its project period, the project director must meet with OSP staff to discuss sponsor requirements before closing the project to ensure that project activity and charges are brought to conclusion within a reasonable period. Upon the clearance of all project charges and the filing of all required reports and final reimbursement by the sponsor, the account will be closed.

A sixty-day grace period is generally allowed to process any late invoices or other outstanding payments. There is an expectation that all final reports will be filed during this time. Should activities and charges extend beyond this period, you jeopardize the University's ability to recover any costs incurred. If you envision that activities will not be completed by the end of the project period (not the sixty day grace period), you should request a time extension from the sponsor prior to the end of the project. These are routinely approved and may solve any potential problems.

## What Services Does OSP Provide?

1. **Proposal Development & Submission.** Whether you have a general or specific research idea, OSP will assist you in focusing on a fundable project, and will help you develop a brief prospectus to define your project costs. OSP maintains an excellent collection of resource materials on funding opportunities, program guidelines, and proposal preparation.
  - ❖ If you have a specific area of interest of which we are aware, we can review appropriate publications and circulate relevant program announcements to you.
  - ❖ We can assist you in costing out your project by making you aware of all the potential expenditures that you may face. This process may determine the ultimate success of your project.
  - ❖ Agencies may require various certifications, financial statements, compliance affidavits, etc. We are prepared to see that these required items are properly completed and included in your submission.
  - ❖ Finally, OSP staff can assist in tracking the status of your proposal and negotiating the details of an award.
2. **Contacting Funding Agencies.** Contact with a sponsor can be vital to the success of your proposal. With our consultation, it may be advantageous for you to contact an agency's program staff to develop a personal relationship and solve technical program-related issues.
3. **So Noted.** OSP puts out a monthly newsletter, *So Noted*, during the academic year to bring the USM community information on funding opportunities for scholarly and creative activities, extramural awards and other recognitions.
4. **Project Management.** As the department responsible for assisting in the administration of all externally-sponsored projects, OSP sets up cost centers, monitors projects for compliance with award conditions, and assists in preparing invoices and financial reports to sponsors.
5. **COS Database.** OSP's subscription to the Community of Science's Funding Opportunities Database provides all USM faculty/staff with the ability to run individual searches for your research pursuits. The website is at: <http://www.cos.com>. Then click on *COS Funding Opportunities*.

## When Should I Contact the Office of Sponsored Programs?

You need to contact the OSP early on in the proposal preparation process to maximize your access to services. If you are searching for a funding source, you should plan on eight to twelve months lead time. If you have identified a potential funding source and are mainly concerned with the preparation of narrative and financial sections of your proposal, you should make an appointment with OSP approximately one month before the due date.

As is true with any approach to an external funding source, these initiatives must be coordinated through the Office of Sponsored Programs. This includes a preliminary proposal, a letter of inquiry (even if that communication does not include a budget) or a solicitation visit.

Please make sure that the idea that you are planning to take to an external funding source has been sanctioned by your Dean/Department Head before coming to the Office of Sponsored Programs for help with either finding funding sources or planning budgets.

## PRE-AWARD PROCEDURES

### Proposal Preparation

The proposal represents a **formal** offer to conduct a program by the University using University staff and resources. The terms of each proposal must comply with University regulations and the funding agency's requirements. All proposals submitted to potential sponsors (governmental or private sources) in the name of the University must be processed through the OSP and approved by the appropriate University officials. The Director of OSP serves as the designated signator on all proposal submissions and as the chief administrative officer for all contracts and grants received.

In order to ensure the best possible outcome, the following deadlines will apply to most proposal submissions:

Initial notification: OSP, and the appropriate Dean/Director, should be notified of a pending submission as soon as possible, but no less than four (4) weeks prior to the submission deadline. The purpose is to allow sufficient time for a review of sponsor guidelines, allow the resolution of major issues, and to help OSP manage its time commitments. Often the University may have several responses to the same program or there may be multiple programs with similar deadline dates. Sufficient advance notification will allow OSP to

## POST-AWARD PROCEDURES

### Implementing a Project

When a proposal is accepted for support by a funding agency, an award document will be sent to the Office of Sponsored Programs. Should a formal acceptance be required, the OSP will execute such a document.

The sponsor and the University assume that the project director/principal investigator, operating within the policies of the University and sponsor, is responsible for the programmatic and financial integrity of the project. The project director is expected to maintain a close relationship with his or her dean and the OSP during the course of the project to ensure smooth project administration.

OSP staff will meet with the principal investigator/project director upon the funding of a project to review award terms and conditions. Such items as project reporting, budget limitations, and University policy will be discussed. A unique cost center will be established for each project and funding period.

### Project Charges

All project charges will be recorded in the established account. This will serve as the official record in the event of an audit. Care should be taken to charge the project account for all expenditures so that an E&G departmental account is not unfairly burdened with inappropriate charges.

Contract and grant administrators are expected to reconcile their accounts on a monthly basis. It is expected that the project director will review the account summary on PeopleSoft, note any discrepancies on the Monthly Review Sheet, and return it to OSP in a timely fashion. Any issues of concern should be discussed with OSP. Instructions for monthly account reconciliation are available on our website at: [http://www.usm.maine.edu/osp/monthly\\_acct\\_reconciliation.htm](http://www.usm.maine.edu/osp/monthly_acct_reconciliation.htm)

### Program and Budget Modifications

Sponsoring agencies have varying restrictions upon deviations from approved tasks and budgets. However, reasonable requests for change may be considered as the sponsor is

A project should be reviewed within a unit to confirm that it is compatible with unit priorities, workload, staff commitments, and mission. Deans should ensure that the proposal is reasonable, appropriate, and of sufficient quality. They should also review the **degree to which the project commits the college** to current financial support, to long-term staff or monetary commitments, or to programs that may evolve from the project.

The OSP shall be the final USM signator before transmitting a proposal to a sponsor. If a proposal is not approved by the OSP, or if a conflict arises in the case of a project involving two or more schools or colleges, an appeal can be made to the Provost for final resolution. Proposals may not be approved if department or OSP approvals have not been obtained, if a proposal were not consistent with a campus plan to solicit support from the proposed sponsoring agency, or if the proposal did not meet acceptable quality standards.

provide the best possible support. At that time an OSP staff person(s) will be assigned to work with project staff. It is expected that a project proposer will maintain frequent and substantial contact with both OSP and their Dean/Director during the submission process.

Draft Proposal: OSP, and the appropriate Dean/Director, should receive a copy of a good strong draft proposal, including all relevant components, at least ten (10) working days prior to the deadline. This will allow sufficient review time to ensure that the proposal is moving towards submission properly, that all requirements are being met, and that the any issues are identified and resolved.

Final Proposal: OSP, and the appropriate Dean/Director, should receive a final copy of the proposal ready for submission at least three (3) working days prior to the deadline. This will allow sufficient time for a final quality check and the resolution of any issues not resolved already. This will also allow time to correct any problems should they be encountered upon submission.

## **Steps for the Preparation and Submission of Proposals for External Funding**

In an effort to clarify and simplify the process, the following steps have been developed:

1. Faculty/staff member with a research plan that has the support of Dean and/or Department Chair, contacts OSP for help in finding potential funding sources.
2. OSP can train individuals to run funding searches for their research needs and can also supply faculty/staff with potential sources.
3. Faculty member selects funding source(s), and if the funder is a foundation or corporation, submits a pre-contact approval sheet to Advancement (<http://www.usm.maine.edu/osp/pre-contactappforms.htm>) for permission to proceed.
4. Faculty member contacts OSP for budgetary and application assistance.
5. Faculty member fills out internal "blue sheet" form (<http://www.usm.maine.edu/osp/bluesheet.htm>) with Dean's signoff approving submission through OSP.
6. If an award is received, the faculty notifies OSP. OSP determines the nature of the award and its requirements so that the proper administrative management will take place.



## Budget Preparation

OSP will assist in all elements of budget preparation. While each sponsor may have a specific and unique set of guidelines that will be reviewed with the project director on each project, there are some general rules and University policies that apply to all grants.

### → Direct Costs

**Salaries and Wages.** Faculty salaries will be computed at 1/9 of the academic base salary to determine monthly salary rates for significant portions of time. For shorter periods of time, daily rates will be computed at 1/185 of academic year base. For professional staff, 1/12 or 1/225 of the fiscal year base salary should be used.

**Employee Benefits.** The University of Maine System annually negotiates an employee benefit rate with the U.S. Department of Health and Human Services. Through the application of this rate, the University recovers the costs associated with personnel for items such as social security, workers compensation, unemployment compensation, health and life insurance, etc. The University has a two-tiered rate. For all regular payments to faculty/staff (i.e. base pay to faculty/staff) there is a 40.3% rate for 2008. The pay of temporary employees is assessed an 8.5% rate for 2008. These rates will be applied to all personnel costs whether or not funds have been budgeted. Student wages continue to be excluded from any employee benefit assessment. The most updated information on Benefit Rates can be found at <http://www.usm.maine.edu/osp/fringe.htm>

**General Operating Costs.** This includes such items as supplies, telephone, postage, printing, etc. The OSP can assist you in developing strategies to ensure that your project is appropriately budgeted.

**Travel.** Local and in-state travel are governed primarily by University policy. Out-of-state and International travel, while also governed by University policy, should be specifically indicated in your budget.

**Equipment.** Generally, permanent equipment must be specifically approved within your budget prior to the purchase of such items. Title to such items will be determined by the sponsor's guidelines. Items costing in excess of \$5,000 are excluded from indirect costs.

**Subcontracting & Consultants.** When contracting for outside services, the OSP needs to be consulted for compliance of rules. An outline of these rules can be found on our website (<http://www.usm.maine.edu/osp/pre.htm>).

### → Indirect Costs

The funding of indirect costs through a project is intended to reimburse the University for space and equipment use, administrative time, and other items that the University commits in support of a project. These are costs that can not be as easily assigned to a project as direct staff time. However, they are just as real.

Annually the University of Maine System negotiates indirect cost rates with the U.S. Department of Health and Human Services. These rates apply to all University research, training/educational, and public services projects conducted through externally funded programs. Indirect Cost rates for FY2008 were still under negotiation when this went to print—to check on the most current documentation, visit our web link: <http://www.usm.maine.edu/osp/dhhs.htm>

The OSP will make a final determination as to which rate applies to your project. Should there be a cost sharing requirement imposed by the funding agency, a discussion between OSP and the appropriate Dean will take place to determine whether any indirect costs will be waived by the University.

Indirect cost revenues generated by a school or college are shared with the school or college to support investments in future funding opportunities.

## Review and Approval

An internal **Proposal Approval Form** (aka "Blue Sheet") is used to record the progress/status of your proposal and the approval of appropriate University officials. The form indicates the responsible unit within the University that will be administering the project as well as any collaborating units. The signature of the unit head, department chair, and the dean or director is required and indicates knowledge of and responsibility for any program commitments. Similar signatures from any collaborating unit must be obtained. The form also shows pertinent information about the project, such as staffing and the source of any University cost sharing. Proposals will not be submitted to a sponsoring agency without a properly completed form. A new form is required for continuation and renewal submissions as well. A "Blue Sheet" is located at: <http://www.usm.maine.edu/osp/bluesheet.htm>