UNIVERSITY OF OREGON
GRANTS ADMINISTRATION MANUAL

PART 1 - DEFINITIONS, GENERAL POLICIES
PART 2 - PROPOSAL PREPARATION AND SUBMISSION
PART 3 - AWARD RECEIPT AND ADMINISTRATION

For questions or comments, send an email to Research_Services@orsa.uoregon.edu

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ATTENTION: Any item on this Table of Contents is linked in cross-reference to the document.

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The University of Oregon is a comprehensive research university and the only Oregon member of the Association of American Universities (AAU). Its instructional, research, and public service programs in the liberal arts and sciences as well as professional programs advance scientific and humanistic knowledge and serve the educational, cultural, and economic needs of Oregonians. Gifts, grants and contracts received by the UO in support of research and related activities amount to nearly 29% of the University’s annual budget, as shown on the web at http://ormweb.uoregon.edu/profile/finance.pdf#page=2.

UO places strong emphasis on research programs across all disciplines and fields and has sponsored research in nearly all its departments, center and institutes. A complete listing of research units can be found on the web at http://research.uoregon.edu/research_institutes.html. The UO faculty are committed to providing the most current knowledge in their fields, through instruction and research. By sharing their research through teaching, faculty members are better able to articulate their findings and to integrate their specialized studies with broader areas of knowledge. Various publications over the years that rank universities have recognized the quality of instructional and research programs at the UO. In 1997, one publication placed the UO 15th in the nation among all public research universities and sixth among "rising star" institutions in a study based on research grants, fellowships, and scholarly articles.

In the fiscal year ending June 30, 2000, more than $62 million in grants and contracts, primarily from federal agencies, was received in support of sponsored research, instruction and public service projects. Competitive and peer-reviewed research support is indicative of the quality of the faculty and the quality of the faculty determines the overall stature of the University: 3 UO faculty members in the Department of Biology have received "genius grants" from the McArthur Foundation; 9 UO faculty members have been elected to the National Academy of Sciences and 8 to the American Academy of Arts and Sciences; 2 faculty were honored with American Cancer Society Professorships; over 60 have received Guggenheim Fellowships; and over 200 have received Fulbright fellowships.

The American Psychological Society Observer has placed the Department of Psychology eleventh in the world for its impact on the discipline. Based on the quality of faculty research, the Department of Biology has been ranked tenth in the world by Science Watch. The research-doctoral program in psychology ranks among the nation's top fifteen programs at public universities and among the top twenty-five overall. The research-doctoral programs in biochemistry, molecular biology, and neuroscience rank among the nation's top fifteen at public universities. Based on the quality of faculty research, Science Watch magazine has ranked the University ninth among the nation's top twenty-five institutions in chemical physics and physical chemistry.
An overview of the UO is available in this manual as Appendix A for use in grant applications requiring an institutional profile.

INTRODUCTION TO THE MANUAL

A. HOW TO USE THIS MANUAL EFFECTIVELY

The Grant Administration Manual has been redesigned and expanded from an earlier version, the “PI Manual”, to provide current guidelines, policies and procedures to faculty seeking extramural support, and for managing awards in compliance with federal and state laws, rules and regulations. Recent issues directly affecting grants management include: reengineering by federal agencies under a mandate to streamline government, increased access to information over the internet, and the explosion of electronic research services including electronic commerce. Both public and private sponsors have responded to these issues with changes in policies and procedures for proposal submissions and award administration.

The Office of Research Services and Administration (ORSA) under the Vice President for Research seeks to assist faculty researchers and support staff by providing useful information through the Grants Administration Manual. The manual is presented in three parts: 1) Definitions and General Policies, 2) Proposal Preparation and Submission, and 3) Award Receipt and Administration. Users of this manual will find it most helpful by referring to all parts containing information on a given topic. For instance, Part 1 includes brief descriptions of terms or topics, some of which may appear in other parts of the manual with more detailed information and instructions. For these, a link is provided to the detailed section. General policies may include procedures for obtaining approvals, which are pertinent to other areas of the manual, so cross-referencing is important.

Each part contains numerous links to laws, regulations, policies or guidelines available on the World Wide Web. Because website addresses frequently change, ORSA will make every attempt to keep these links current, but users should feel free to call the office if a web link is found to be in error. Additionally, ORSA expects to complete or revise topics and sections throughout the year, so users are encouraged to refer to the manual often for the most current and thorough information.

We are interested in your comments and suggestions as users of the manual. Please send your questions, problems you have encountered using the on-line version, topics you would like included in the future, or other comments to Research_Services@orsa.uoregon.edu.

B. RESEARCH SERVICES OFFICES

Following are the main contact names and numbers for assistance with all aspects of research administration at the University of Oregon:
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PART 1 - DEFINITIONS, GENERAL POLICIES

I. DEFINITIONS

The following definitions are provided to assist users in interpreting funding agency program guidelines and regulations, preparing the appropriate type of application, and referring to various sections throughout the manual which describe these terms in further detail.

A. APPLICATION TYPES

Pre-proposal (preliminary proposal) - A brief presentation by the PI of ideas, methods, personnel and budget submitted as an unsolicited white paper or in response to the funding agency's request for a preliminary proposal to determine the eligibility of the applicant and the suitability of the proposed project for support. The pre-proposal is usually in letter form for private agencies and can be an abbreviated form of the standard proposal format for public agencies. Unsolicited pre-proposals must include a statement that it is not an official offer and the UO reserves the right to submit a full proposal prior to award. [also see Proposal Clearance in Part 2, Section III]

New - A new application is for support of a project which is not currently receiving support from the agency to which the application will be submitted.

Continuation (non-competing continuation) - A non-competing application requests support for a second or subsequent budget period within a previously-approved project period. [also see Proposal Clearance in Part 2, Section III]

Renewal (competing continuation) - A renewal proposal, called a competing continuation application by some federal agencies, requests support of a funded project beyond the current project period. Renewal proposals compete with other competing continuation, competing supplemental, and new applications for funds.

Supplement - A supplement proposal requests an increase in support during a current budget period for expansion of the project's scope, to meet unforeseen costs at the time of the new or continuation application, or for special purposes which may enhance the progress of the research, such as purchasing a piece of equipment or to support undergraduate and minority students. Some agencies allow requests for supplemental funding by letter, while others require some type of application.

Revision - A revision may take one of two forms: a) It may be a complete, formal application to replace a prior unfunded version of a new, competing continuation, or supplemental application, with explicit reference made to the revisions in the proposal (usually reviewed as a new proposal by agencies); or b) It may be a revised budget and/or
project narrative in response to the funding agency's request based on their intent to support the project in its revised form (usually reviewed at the program office or grants office level only). [also see Proposal Clearance in Part 2, Section III]

SNAP - The Streamlined Non-competing Application Process (SNAP) for eligible NIH continuation applications (generally applies to all grants covered under expanded authorities and Federal Demonstration Partnership terms and conditions except for Program Project Grants (P01s) and Outstanding Investigator Grants (R35s)). SNAP apps require an abbreviated proposal with only a face page, progress report summary, personnel report and checklist.

NIH Modular Grants - NIH's new application, review and award procedures that apply to all individual research project grants (R01), small grants (R03), and exploratory/developmental grants (R21) beginning with the receipt date of June 1, 1999. Called the “Modular Research Grant Application and Award” initiative, the program affects all NIH institutes and applies to applications that request $250,000 direct costs or less per year. Funding requests and award amounts will be made in modules of $25,000, up to the maximum $250,000 annually. [also see NIH Modular grants on ORSA website at http://orsa.uoregon.edu/web/proposals/NIH/Proposals_NIH.html]

B. AWARD MECHANISMS
[also see Award Processing in Part 3]

The type of award mechanism is determined by ORSA based on the requirements of the award, and not what it may be called by the Sponsor or in the award documents. This determination is important for establishing the correct type of account and administrative requirements associated with the award.

**Contract** - A contract is a legally-enforceable document, used sometimes by federal agencies and nearly always by industry, to procure a product or service or to fund research, development or training. It can be the most restrictive award mechanism, specifying the scope of work, a timetable, costs and payment based on some measurable unit or product, and other conditions such as ownership of the product in an agreement to be signed by both parties. There are two types of contracts applicable to UO--fixed-price and cost-reimbursement. The authorized University contracting officer must review and sign all contracts, as the University, and ultimately the State, is legally and financially obligated. [also see Contracts in Part 3]

**Cooperative Agreement** - This type of award mechanism allows for substantial involvement, either technical or managerial, by the funding agency when necessary in the performance of the activities. While the cooperative agreement can involve input and monitoring by agency staff, the responsibility for overall project management rests with the recipient of the award. Federal agencies will select the appropriate funding mechanism--the cooperative agreement for project assistance (similar to a grant) or the
contract for procurement of services for the direct benefit or use of the federal
government.

**Gift** - Gifts from private sources are funds in support of a project when no specific
product or service is required in return for the funds. However, objectives may be stated
and use of the funds may be restricted to a particular purpose such as research in a
defined area or for a professorship. [also see Interest Bearing Accounts in Part 1, Section
II and in Part 3]

**Grant** - This type of award is used by most federal agencies to provide assistance for a
project at a specified level of effort for a specified period of time and when no substantial
programmatic involvement of the funding agency is anticipated or required in the
performance of the proposed activities. Formal financial accounting and periodic
progress reporting are generally required.

**C. BUDGETARY ITEMS**
[see also Budget and Budget Justification in Part 2, Section II, and Budget Elements on
ORSA website at [http://orsa.uoregon.edu/web/proposals/budget/Proposals_budget.html]]

**Budget period** - A budget period is an interval of time, usually 12 months or less but not
more than 18 months, into which the project period is divided for budgetary and funding
purposes.

**Costsharing** - Costsharing is a contribution, mandatory (as required by statute, regulation
or written policy) or voluntary (amounts beyond the mandatory levels), of cash or
services provided by the grantee institution or of third-party in-kind contributions to the
overall costs of a sponsored project. If costsharing is required by the funding agency, the
level and type of contributed support are generally specified in program guidelines or
application instructions. Costsharing commitments should not normally be made in a
proposal unless required and specified in the program announcement. Contracts do not
require costsharing. [also see Costshare and Matching Funds in Part 1, Section II]

**Direct costs** - Direct costs are those costs that can be specifically identified with a
particular project or program, such as salaries and benefits of project personnel, travel,
equipment, services, and supplies.

**Equipment** - Under state regulations, equipment is defined as an article of tangible
personal property that has a useful life of more than 1 year and an acquisition cost of
$5,000 or more.

**Fringe benefits** - Fringe benefits, also called Other Personnel Expenses (OPE), are direct
costs associated with salaries and wages and include the following items: FICA (Social
Security); retirement; insurance for medical, dental, life, unemployment, long-term
disability and employee liability coverage; worker's compensation, mass transit, and
executive department personnel division and employee relations board assessments.
Facilities & Administrative costs - Facilities and Administrative (F&A) costs, previously referred to as Indirect Costs, are those expenses related to research that cannot be easily identified with a particular sponsored project, instructional activity, or any other institutional activity. These costs are classified under two broad categories: Facilities (depreciation and use allowances, equipment, operation and maintenance, and library expenses) and Administrative (general, sponsored projects, and departmental administration, and student administration and services). [also see Facilities and Administrative Costs in Part 1, Section II]

Matching funds - The grantee institution may be required by statute to contribute a specified percentage of program or project costs in order to be eligible for the sponsor's funding. This requirement may be stated either as a specified or minimum percentage of total allowable costs or a maximum sponsor percentage of participation in such costs (Examples: Applicant must provide an amount equal to the sponsor's funds -- a 50% or 1-1 match; Applicant must provide 20% of total project costs; Sponsor will provide funds not to exceed 80% of total project costs). [also see Costshare and Matching Funds in Part 1, Section II]

Modified total direct costs (MTDC) - Modified total direct costs include all direct costs excluding 1) capital expenditures (alterations, renovations, and equipment), 2) student support and participant costs (tuition, fees, stipends, fellowships and scholarships), 3) patient care costs, 4) rental costs for space, and 5) that portion of a subgrant or subcontract in excess of $25,000, regardless of the period covered by the subaward. MTDC forms the base for applying the negotiated F&A cost rate in proposal budgets. [see also Facilities and Administrative Costs in Part 1, Section II]

Project period - The total time approved by the funding agency for a supported project, including any extensions approved by the institution or the funding agency. The project period consists of one or more budget periods which are usually 12 months each.

Stipend - A payment made to an individual under a fellowship or training grant in accordance with pre-established levels to provide for the individual's living expenses during the period of training. A stipend is not considered compensation (salary and wages) for the services expected of an employee.

D. GENERAL DEFINITIONS

Applied Research - The application of scientific knowledge, improvements or discoveries to the solution of a defined problem.

Basic Research - Systematic inquiry directed toward a more complete knowledge and understanding of a particular subject without regard to direct practical applications.
Copyright - Legal protection for original written work which prevents unauthorized use. Ideas, concepts, and fact are not copyrightable; only the mode of expression can be protected.

Cost-Reimbursement Contract - A contract for which one party pays the other party for the full costs incurred in the conduct of the work, up to the committed budget amount. This type of contract is used most often by universities, requiring an approved budget and scope of work. Once the committed budget amount is fully spent, the University can stop work, or negotiate for additional funds to complete the project. Interim and final progress reports are normally required by the sponsor, and payments are usually based on submission of monthly or quarterly invoices showing expenditure detail for the period. [also see Contracts in Part 3]

Federal Demonstration Partnership - A consortium of federal agencies and universities working together, first as the Florida Demonstration Project in 1986, then expanded and renamed the Federal Demonstration Project (FDP) in October 1988, to examine, propose, and test ways to streamline administrative burdens on sponsored research. Some changes, approved by the Office of Management and Budget in May 1988, allowed federal agencies to give institutions the authority to rebudget and carry-forward funds, approve pre-award costs, and grant no-cost extensions. These "expanded authorities" became the core terms and conditions for grants issued under the Federal Demonstration Project. While UO is not a member institution of the FDP, it does benefit from administrative streamlining due to FDP efforts, such as expanded authorities. [also see Expanded Authorities in Part 3]

Fiscal Year (FY)- A 12-month period for which annual accounts are kept. The UO's FY is July 1 to June 30. The federal government's FY is October 1 through September 30.

Fixed-Price Contract - A contract for which one party pays the other party a predetermined price for services rendered, regardless of actual costs. This type of contract carries some risk for the institution, since the work or work product must be accomplished for the agreed-upon price. The institution must absorb any cost overruns; however, any funds remaining in excess of actual costs may be retained by the institution. A budget must be reviewed and approved but is not part of the contract. Cost and payments are based on milestones or tasks completed or products delivered. [also see Contracts in Part 3]

Grant/Contract Officer - A sponsor's designated official responsible for the business management of the award, including negotiation, award and administration of a grant or contract. Changes to an award are usually not official unless endorsed by the sponsor's grant or contract officer. The University's authorized official who has been delegated responsibilities as contracting officer (several professional staff in ORSA serve in this role) under authority of the State Board of Higher Education.

Key Personnel - Individuals who contribute in a substantive way to the scientific development or execution of a project, whether or not they receive compensation from the grant supporting that project. The PI is always included in this category.
personnel are usually named in the proposal, specified in an award or agreement, and committed to the level of effort proposed.

**Level of Effort** - A reasonable estimate of the percentage of time (not number of hours) devoted by professorial and professional staff and other salaried personnel to activities--to include instructional, administrative, research, and service activities--whether paid for by a grant or contract, state or other funds, and not to exceed 100% for all activities combined during a reporting period (quarterly, semi-annually, annually, calendar year, etc.). The percentage distribution or level of effort for key personnel is usually specified in a proposal and becomes part of the award. In compliance with [OMB Circular A-21](#), effort levels must be reported and documented by the institution and are subject to audit. [also see Activity Reporting in Part 3]

**Patent** - The right, granted by the federal government, to exclude others from making, using, or selling an invention for a period of 20 years from its date of filing. An invention must be novel, useful, and non-obvious to obtain a patent. [also see Technology Transfer in Part 1, Section II]

**Principal Investigator/Project Director (PI or PD)** - An individual designated by the grantee institution to direct the project or activity being supported by the grant and who is responsible and accountable to the institution for the proper conduct of the work.

**Program/Project Officer** - A sponsor's designated official responsible for the technical, scientific or programmatic aspects of the award, including monitoring progress and working with PIs on project-related issues.

**Royalty** - A share of the proceeds paid by a commercial partner for the right to use an invention, usually specified in the license agreement as a percentage of product sales. [also see Technology Transfer in Part 1, Section II]

**Scope of Work** - Description or statement of work to be performed and completed, by the prime grantee or subawardee, on a sponsored project. Changes in the scope of work on a sponsored project require University endorsement and prior approval from most sponsors.

**Subagreement** - A document such as a subgrant or subcontract written under the authority of and consistent with the terms and conditions of a prime award (grant, contract or cooperative agreement) that transfers a portion of the research to another entity. Agency prior approval is required for issuing a subagreement unless it was proposed in the original application and approved as part of the award. [also see Subagreements in Part 3]
### E. ACRONYMS

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<thead>
<tr>
<th>Acronym</th>
<th>Description</th>
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<tbody>
<tr>
<td>AAALAC</td>
<td>American Association for the Accreditation of Laboratory Animal Care</td>
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<td>ACF</td>
<td>Administration for Children and Families (DHHS)</td>
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<td>ACO</td>
<td>Administrative Contracting Officer</td>
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<td>AFOSR</td>
<td>Air Force Office of Scientific Research (USAF)</td>
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<td>AHCPR</td>
<td>Agency for Health Care Policy and Research (DHHS)</td>
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<td>AID</td>
<td>Agency for International Development (Independent)</td>
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<td>Amtrak</td>
<td>National Railroad Passenger Corporation (Independent)</td>
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<td>ANA</td>
<td>Administration for Native Americans</td>
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<td>AOA</td>
<td>Administration on Aging (DHHS)</td>
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<td>APHIS</td>
<td>Animal and Plant Health Inspection Service (USDA)</td>
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<td>ARO</td>
<td>Army Research Office (USA)</td>
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<td>ARPA</td>
<td>Advanced Research Projects Agency (DOD)</td>
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<td>BAA</td>
<td>Broad Agency Announcement</td>
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<td>BLM</td>
<td>Bureau of Land Management (DOI)</td>
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<td>BPA</td>
<td>Bonneville Power Administration</td>
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<td>CAAC</td>
<td>Civilian Agency Acquisition Council</td>
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<td>CBD</td>
<td>Commerce Business Daily</td>
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<td>CDBG</td>
<td>Community Development Block Grant</td>
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<td>CDC</td>
<td>Centers for Disease Control (DHHS)</td>
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<td>CEQ</td>
<td>Council on Environmental Quality</td>
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<td>CFA</td>
<td>Commission of Fine Arts</td>
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<td>CFDA</td>
<td>Catalog of Federal Domestic Assistance</td>
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<td>Code of Federal Regulations</td>
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<td>Corporate and Foundation Relations, Office of (UO)</td>
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<td>Central Intelligence Agency (Independent)</td>
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<td>Competition in Contracting Act</td>
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<td>Contracting Officer</td>
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<td>Conrail</td>
<td>Consolidated Rail Corporation</td>
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<td>CPSR</td>
<td>Contractor Procurement System Review</td>
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<td>CRADA</td>
<td>Cooperative Research and Development Agreement</td>
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<td>Center for Scientific Review (NIH)</td>
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<td>CSRS</td>
<td>Cooperative State Research Service</td>
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<td>D C</td>
<td>District of Columbia</td>
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<td>DA</td>
<td>Departmental Administration</td>
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<td>Department of the Army</td>
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<td>Defense Acquisition Regulations Council</td>
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<td>Defense Advanced Research Projects Agency</td>
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<td>Direct Costs</td>
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<td>Defense Communications Agency (DOD)</td>
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<td>DCAA</td>
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<td>Drug Enforcement Agency (DOJ)</td>
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<td>Department of Energy Acquisition Regulations (DOE)</td>
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<td>Dept. of Defense Federal Acquisition Regulations (DOD)</td>
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<td>Department of Health and Human Services (includes NIH)</td>
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<td>DIA</td>
<td>Defense Intelligence Agency (DOD)</td>
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<td>Defense Investigative Service (DOD)</td>
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<td>EDA</td>
<td>Economic Development Administration (DOC)</td>
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<tr>
<td>EDGAR</td>
<td>Education Dept. General Administration Regulations (DED)</td>
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<td>EEO</td>
<td>Equal Employment Opportunity</td>
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<td>EEOC</td>
<td>Equal Employment Opportunity Commission (Independent)</td>
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<td>EO</td>
<td>Executive Order</td>
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<td>EPA</td>
<td>Environmental Protection Agency (Independent)</td>
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<td>ERS</td>
<td>Economic Research Service (USDA)</td>
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<td>ES</td>
<td>Extension Service (USDA)</td>
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<td>ETA</td>
<td>Employment and Training Administration (DOL)</td>
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<td>EVS</td>
<td>Equipment Visibility System</td>
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<td>FAA</td>
<td>Federal Aviation Administration (DOT)</td>
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<td>F&amp;A</td>
<td>Facilities and Administrative costs</td>
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<td>FAQ</td>
<td>Frequently Asked Questions</td>
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<td>FAR</td>
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<td>FBI</td>
<td>Federal Bureau of Investigation (DOJ)</td>
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<td>FCA</td>
<td>Farm Credit Administration (Independent)</td>
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<td>FCC</td>
<td>Federal Communications Commission (Independent)</td>
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<td>FDA</td>
<td>Food and Drug Administration (DHHS)</td>
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<td>GSA</td>
<td>General Services Administration</td>
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<td>HRSA</td>
<td>Health Resources and Services Administration (DHHS)</td>
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<td>MTA</td>
<td>Material Transfer Agreement</td>
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<td>NAS</td>
<td>National Academy of Sciences</td>
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<td>National Aeronautics and Space Administration</td>
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<td>Acronym</td>
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<td>NCRR</td>
<td>National Center for Research Resources (NIH)</td>
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<td>NEERS</td>
<td>National Earthquake Early Reporting System</td>
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<td>NEA</td>
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<td>NEH</td>
<td>National Endowment for the Humanities</td>
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<td>National Foundation on the Arts and the Humanities</td>
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<td>NHTSA</td>
<td>National Highway Traffic Safety Administration (DOT)</td>
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<td>NIE</td>
<td>National Institute of Education</td>
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<td>NIST</td>
<td>National Institute of Science and Technology (DOC)</td>
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<td>National Library of Medicine (NIH)</td>
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<td>NOAA</td>
<td>National Oceanic and Atmospheric Administration (DOC)</td>
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<td>Nuclear Regulatory Commission (Independent)</td>
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<td>National Science Foundation (Independent)</td>
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<td>National Telecommunications &amp; Information Admin (DOC)</td>
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<td>NTIS</td>
<td>National Technical Information Service (DOC)</td>
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<td>OFCC</td>
<td>Office of Federal Contract Compliance</td>
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<td>OFPP</td>
<td>Office of Federal Procurement Policy</td>
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<td>OFR</td>
<td>Office of the Federal Register National Archives and Records Administration</td>
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<td>OMB</td>
<td>Office of Management and Budget (Executive)</td>
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<td>ONR</td>
<td>Office of Naval Research (USN)</td>
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<td>OHRP</td>
<td>Office for Human Research Protections</td>
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<td>ORSA</td>
<td>Office of Research Services and Administration (UO)</td>
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<td>OSDBU</td>
<td>Office of Small &amp; Disadvantaged Business Utilization</td>
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<td>Occupational Safety &amp; Health Administration (DOL)</td>
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<td>Office of Technology Assessment (Legislative)</td>
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<td>Office of Technology Policy (DOC)</td>
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<td>Program Announcement</td>
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<td>Public Health Service (DHHS)</td>
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<td>Property System Review (DOD)</td>
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<td>PTO</td>
<td>Patent and Trademark Office (DOC)</td>
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<td>RDA</td>
<td>Rural Development Administration (USDA)</td>
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<td>RFA</td>
<td>Request for Applications</td>
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<td>RFD</td>
<td>Research and Faculty Development, Office of (UO)</td>
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<td>RFP</td>
<td>Request for Proposal</td>
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<td>RFQ</td>
<td>Request for Quote</td>
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<td>SAMHSA</td>
<td>Substance Abuse and Mental Health Administration (DHHS)</td>
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<tr>
<td>SBA</td>
<td>Small Business Administration (Independent)</td>
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<td>SCS</td>
<td>Soil Conservation Service (USDA)</td>
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<td>SPA</td>
<td>Sponsored Programs Administration</td>
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<td>STATE</td>
<td>Department of State</td>
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F. GUIDELINES AND REGULATIONS

1. Federal Government

1.1 CFDA: CATALOG OF FEDERAL DOMESTIC ASSISTANCE
http://www.cfda.gov/
The Catalog of Federal Domestic Assistance (CFDA) is a government-wide compendium of federal programs, projects, services, and activities which provide assistance or benefits to the American public. It contains financial and nonfinancial assistance programs administered by departments and establishments of the federal government. Federal contracts, by PL-95-224, are Procurement, not Assistance; therefore, there are never any CFDA numbers issued for contracts. A grant from the United States Agency for International Development (AID) or other US State Department activities for foreign assistance will also not have CFDA numbers.

1.2 CFR: THE CODE OF FEDERAL REGULATIONS

The CFR is divided into 50 titles which represent broad areas subject to Federal regulation. Each title is divided into chapters which usually bear the name of the issuing agency. (See: Alphabetical List of Agencies Appearing in the CFR-- extracted from the January 1, 1998, revision of the CFR Index and Finding Aids -- pp. 1001-1009.) Each chapter is further subdivided into parts covering specific regulatory areas. Large parts may be subdivided into subparts. All parts are organized in sections, and most citations to the CFR will be provided at the section level.

1.3 FAR: FEDERAL ACQUISITION REGULATIONS
http://www.acqnet.gov/far/
The FAR was established to codify uniform policies for acquisition of supplies and services by executive agencies. It is issued and maintained jointly, pursuant to the OFPP Reauthorization Act, under the statutory authorities granted to the Secretary of Defense, Administrator of General Services and the Administrator, National Aeronautics and Space Administration. Statutory authorities to issue and revise the FAR have been delegated to the Procurement Executives in DOD, GSA and NASA.

GSA FAR Secretariat Publishes the FAR on behalf of all three FAR issuing agencies. The GSA Federal Acquisition Policy Division maintains the FAR Secretariat to act as the...
1.4 FAR SUPPLEMENTS

Agriculture (AGAR) FAR Supplement (from USDA)
http://www.usda.gov/procurement/policy/agar.html

Defense (DFAR) FAR Supplement (from DTIC)
http://farsite.hill.af.mil/

Defense (DFAR) FAR Supplement (from USGI)
http://farsite.hill.af.mil/

Army FARS
http://farsite.hill.af.mil/

Department of Transportation TAR (from DOT)
http://www.dot.gov/ost/m60/tamtar/tar.htm

Environmental Protection Agency EPAAR (from EPA)
http://www.epa.gov/oamrfp12/ptod/epaar.pdf

NASA FAR Supplement (from NASA)
http://www.hq.nasa.gov/office/procurement/regs/nfstoc.htm

NASA FAR Supplement (from USGI) http://farsite.hill.af.mil/

DOE FAR (DEAR) Supplement http://professionals.pr.doe.gov/ma5/MA-5Web.nsf/Procurement/Acquisition+Regulation

1.5 CAS: COST ACCOUNTING STANDARDS
http://www.fedmarket.com/procurement_library/regulations/cas/toc.html

Public Law 100-679 (41 U.S.C.422) requires certain contractors and subcontractors to comply with Cost Accounting Standards (CAS) and to disclose in writing and follow consistently their cost accounting practices. The FAR Subpart 9900.000 describes policies and procedures for applying the Cost Accounting Standards (CAS) to negotiated contracts and subcontracts. Subpart 9901.306 -- Cost Accounting Standards promulgated by the Board shall be mandatory for use by all executive agencies and by contractors and subcontractors in estimating, accumulating, and reporting costs in connection with pricing and administration of, and settlement of disputes concerning, all negotiated prime contract and subcontract procurements with the United States Government in excess of $500,000, other than contracts or subcontracts that have been exempted by the Board's regulations. Regulatory Requirements: Parts 9903 and 9905 apply to educational institutions except as otherwise provided in this paragraph (c) and at 9903.202-1(f).

Furthermore, CAS is applicable to grants received by institutions of higher education according to OMB Circular A-21 "Cost Principles for Educational Institutions." Institutions receiving $25 million or more in sponsored agreements must disclose its costing practices and show compliance with CAS Parts 501, 502, 505 and 506 that require: consistency in
estimating, accumulating and report costs; consistency in allocating costs incurred for the same purpose; accounting for unallowable costs; and defining the cost accounting period.

1.6 OMB CIRCULARS
http://www.whitehouse.gov/OMB/circulars/index.html
The Office of Management and Budget (OMB), working cooperatively with federal agencies and non-federal parties, establishes government-wide grants management policies and guidelines through circulars and common rules. These policies are adopted by each grantmaking agency and inserted into their federal regulations. Relevant circulars include:

A-21, "Cost Principles for Educational Institutions" (dated 5/19/98)
http://www.whitehouse.gov/OMB/circulars/a021/a021.html


A-122, "Cost Principles for Non-Profit Organizations" (dated 5/19/98) http://www.whitehouse.gov/OMB/circulars/a122/a122.html

A-102, "Grants and Cooperative Agreements with State and Local Governments" (dated 10/7/94, amended 8/29/97) http://www.whitehouse.gov/OMB/circulars/a102/a102.html

A-110, "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations" (dated 11/19/93, amended 8/29/97) http://www.whitehouse.gov/OMB/circulars/a110/a110.html

A-133, "Audits of States, Local Governments, and Non-Profit Organizations" (dated 6/24/97) http://www.whitehouse.gov/OMB/circulars/a133/a133.html

2. Federal Agencies

NASA - National Aeronautics and Space Administration Grant and Cooperative Agreement Handbook http://ec.msfc.nasa.gov/hq/gcover.htm
NSF - National Science Foundation General Policy Guidance http://www.nsf.gov/bfa/cpo/
   NSF GC-1 General Conditions (10/98) http://www.nsf.gov/cgi-bin/getpub?nsf98gc1a
   NSF Conference or Group Travel Award Grant Special Conditions (2/98) http://www.nsf.gov/cgi-bin/getpub?f2698
NIH - National Institutes of Health (DHHS/PHS) http://www.nih.gov
  HHS Grant Regulations - Title 45 CFR http://www.hhs.gov/grantsnet/adminis/fedreg45.htm
  HHS Grants Policy Directives (GPDs) -- Phased Replacement of GAM http://www.hhs.gov/grantsnet/adminis/gpd/index.htm
  HHS Other Grants Resources http://www.hhs.gov/grantsnet/otherresources/kiosk.htm
    HHS Office of Research Integrity http://ori.dhhs.gov/
      ORI Handbook for Institutional Research Integrity Officers
      ORI Whistleblower Guidelines
      Dealing With and Reporting Possible Misconduct in Science
DOD - U.S. Department of Defense
  DOD Grant and Agreement Regulations (DoDGAR's) http://www.dtic.mil/whs/directives/corres/html/32106r.htm
    ONR University Business Affairs Office
    DOD Directives & Records
    Defense Acquisition Deskbook
Miscellaneous
    Federal Travel Rates (from GSA) Travel on Government Business
    Guide for the Care and Use of Laboratory Animals http://www.nap.edu/catalog/5140.html

3. State of Oregon

Oregon Constitution - Provides some consideration related to matching on construction grants and issuance of bonds, limits of liability http://www.leg.state.or.us/orcons/

Oregon Revised Statutes (ORS) - State statutes or laws that prescribe how public agencies administer federal funds, contracts, and limits of liability http://landru.leg.state.or.us/ors/
Oregon Administrative Rules (OAR) - Prescribes operating procedures for specific actions (e.g., who is authorized to commit funds or sign contracts at the agency level)
http://arcweb.sos.state.or.us/rules/number_index.html

4. University of Oregon

The Oregon State Board of Higher Education is regulated by Oregon Administrative Rules, Chapter 580 http://arcweb.sos.state.or.us/rules/OARS_500/OAR_580/580_tofc.html and Oregon Revised Statutes Chapter 351 http://landru.leg.state.or.us/ors/351.html and Internal Management (IMDs) - Guide to institutions in administrative issues and relationships and on the implementation of the Board's rules http://www.ous.edu/board/imdtoc.htm


University of Oregon – UO’s rules are in Oregon Administrative Rules, Chapter 571 http://arcweb.sos.state.or.us/rules/OARS_500/OAR_571/571_tofc.html

UO policies relating to internal administrative processes and procedures are published as University of Oregon Policy Statements and Procedure Guidelines. Institutional manuals, rules, and guidelines from the President's Office, Academic Affairs, Business Affairs, and other administrative offices also apply. See UO Policies on the web at http://policies.uoregon.edu/.

II. GENERAL POLICIES FOR SPONSORED PROJECTS

A. PRINCIPLES GUIDING SPONSORED RESEARCH AT UO

Sponsored research is guided by and adheres to the following principles as outlined in the University of Oregon's mission statement:

· a recognition that research, both basic and applied, is essential to the intellectual health of the University, as well as to the enrichment of the lives of Oregonians, by energizing the state's economic, cultural, and political structure

· a commitment to undergraduate education, with a goal of helping the individual learn to question critically, think logically, communicate clearly, act creatively, and live ethically

· a commitment to graduate education to develop creators and innovators who will generate new knowledge and shape experience for the benefit of humanity

· the integration of teaching, research, and service as mutually enriching enterprises that together accomplish the University's mission and support its spirit of community

· the conviction that freedom of thought and expression is the bedrock principle
At the University of Oregon, research lies at the heart of academic life, helping to define a fundamental part of its mission as "the creation of knowledge." But knowledge is not useful unless it is put to work. The University of Oregon strives to make sure that the new knowledge created - the inventions, discoveries, and artistic creations that emanate from the faculty - are presented to students as part of their academic course work. Because the faculty is actively expanding the frontiers of knowledge in every discipline, all UO students benefit from research conducted on campus.

UO works directly with business, industry, and government to transfer faculty inventions and discoveries to the commercial sector so innovations and new knowledge can benefit the public. Research and technology transfer are part of Oregon's economic future. Beyond potential and real economic benefits, research is the foundation for learning and a key to a better future. A major goal of the UO is to convert new ideas into practical projects of research and application.

Academic freedom is central to the pursuit and dissemination of knowledge. The UO will accept gifts, grants and contracts only from sponsors that agree to full and uncensored academic freedom by the faculty on sponsored projects and the dissemination of findings through publications, classroom instruction, and public presentations.

As official recipient of awards, the University of Oregon is obligated to and will comply with all applicable state and federal laws, rules and regulations governing institutions of higher education and recipients of public support.

**B. AUTHORITY TO APPLY FOR AND ACCEPT AWARDS**

The University of Oregon is one of seven member institutions within the Oregon University System (OUS). The state system is administered by the State Board of Higher Education, consisting of eleven members appointed by the governor, two of whom are students. The chief administrative officer of the state system is the chancellor, through whom the institutional presidents are responsible to the board. The chancellor is supported by four vice chancellors and a staff that is generally referred to as "the Board's Staff." The state system is also known as the Oregon Department of Higher Education, and the entity is variously indicated by the initials OUS (formerly OSSHE), OSBHE, and ODHE.

The state board is responsible for setting academic and administrative policy throughout the system's institutions. The state board sets the missions of the various institutions, it considers curricular proposals from the various institutional faculties, and it allocates to the institutions the funds made available to the system by the state legislature.
The University of Oregon and the Oregon State Board of Higher Education are agencies of the state of Oregon. State law requires agencies to adopt rules and regulations according to the state's Administrative Procedures Act. The Oregon State Board of Higher Education publishes its rules as Oregon Administrative Rules (OARs), Chapter 580. The board also publishes Internal Management Directives (IMDs), which guide the institutions in administrative issues and relationships and on the implementation of the board's rules. The University of Oregon publishes its rules as Oregon Administrative Rules, Chapter 571. University policies relating to internal administrative processes and procedures are published as University of Oregon Policy Statements and Procedure Guidelines.

The operational responsibility for the University is vested in the president and the vice presidents. The president of the University is appointed by the State Board of Higher Education through search procedures established by the board. The president is ultimately responsible for the operation of the University. The University has three vice presidents, who are also appointed by the board on the recommendation of the president of the University.

The Vice President for Research is responsible for the University's sponsored research, instruction and other externally-funded grant and contract activities; for federal government relations; and for technology transfer activities, including the Riverfront Research Park. Reporting to the vice president for research are the assistant vice provost for research and faculty development, the director of research services and administration, the director of technology transfer services, and the directors of research centers and institutes.

Under the authority of Oregon Revised Statutes Chapter 351, found on the web at http://landru.leg.state.or.us/ors/351.html, the University of Oregon is authorized to apply for and accept gifts and grants and to enter into contracts on behalf of the State Board of Higher Education as implemented under Oregon Administrative Rules at http://arcweb.sos.state.or.us/rules/OARS_500/OAR_580/580_042.html.

C. PRINCIPAL INVESTIGATOR ELIGIBILITY

1. Faculty Ranks for PI Status

Faculty with an academic rank of assistant to full professor, as well as senior research associate, are eligible to serve as principal investigators (PIs) or Project Directors (PD) on grant applications submitted on behalf of the University of Oregon. Research associates, instructors, and others including faculty with academic titles of acting, visiting, adjunct and courtesy, must obtain the prior approval of the vice president for research for PI status.

Retired faculty may also submit proposals through the University for grants from outside agencies to support their scholarly activities, and may serve as principal investigators on such grants if they would otherwise qualify as a PI prior to retirement. It is expected that
the assignment of working space and administrative support for such grant-supported research has prior approval of the department head for space, secretarial services, and supplies needed in the continued pursuit of the faculty members' professional activities.

In addition to the regular tenure-track academic appointments, faculty may be appointed as officers of research, members of the University staff whose responsibilities are wholly focused on research projects funded by outside agencies. Therefore, officers of research are not members of the regular faculty. The research ranks are research assistant, senior research assistant, research associate, and senior research associate. The research associate title may be expanded with the words "postdoctoral fellow" to indicate a student/employee relationship intended to continue research training beyond the doctorate. The University has authorized the special titles of research professor, research associate professor, and research assistant professor, to assist in clarifying the roles of some officers of research. Some research faculty members, primarily in the College of Education, are appointed with the rank of research associate or senior research associate but are given the working title of assistant or associate professor or professor.

The University is authorized to add the modifying words "courtesy," "visiting," "adjunct" and "acting" to academic rank designations. These modifiers help define a variety of special relationships that the faculty may have with the institution. Usually, faculty members whose titles are modified in these ways are not members of the University's regular faculty, and so are not eligible for some of the rights and privileges that are allotted to regular faculty.

A "courtesy" rank is assigned when a properly qualified individual seeks a non-employment relationship with the institution, usually for purposes of research. Often, the appointing department benefits from the participation of such a person in the academic or research program, but no salary is involved.

A "visiting" faculty member is one who comes to the University for a short period of time, normally to substitute for a regular faculty member who is on leave. A visiting faculty member often has a regular appointment at another institution. Under University policy, a visiting appointment can continue for no longer than two years.

An "adjunct" faculty member is a person who has another position, usually outside the University, e.g., physician, architect, social worker, etc., and who is employed to teach on an occasional basis or to provide some other academic service within the University.

2. Research Appointments

At the University of Oregon, the following criteria and procedures have been adopted as applicable to appointments to research positions funded from grants and contracts provided by external agencies:

**Research Assistants (not students)** Successful candidates for research assistant shall have earned a bachelor's or master's degree. The appointee's responsibility is to conduct research under direction. Appointment is recommended by the grant's principal
investigator, with the approval of the appropriate department head, dean and vice president. For appointments to conduct research within a research institute, approval is through the vice president for research and dean of the graduate school. Otherwise, it is through the administrative structure of the principal investigator's home department.

**Senior Research Assistants** The academic qualifications and position functions for senior research assistants are similar to research assistants except that the rank is used for those who have served successfully as research assistants for a number of years, and whose employment is expected to continue given available funds. The pay scale is higher than that of research assistants by virtue of the additional time and experience, and should be similar to that paid senior instructors in the discipline.

In rare cases, appointment as a senior research assistant may be offered to a particularly experienced and well-qualified candidate for a research assistant position, but normally the title senior research assistant is reserved for individuals promoted from within the University.

**Research Associates** Successful candidates for research associate shall have an earned doctoral degree (or the highest professional degree in the field plus appropriate experience). An appointee's responsibility is to carry on research independently. Appointment is made by the principal investigator, with approval by the appropriate dean and vice president.

**Research Associate (Postdoctoral Fellows)** While the formal appointment as research associate (postdoctoral fellow) is made as research associate, the parentheses indicate a special use of this rank. The position requires a Ph.D. or other appropriate terminal degree. Individuals appointed as research associates (postdoctoral fellows) conduct postdoctoral research under the supervision of faculty members for the purpose of acquiring training in research. Normally such an appointment is for one or two years following the doctorate. Appointment is made by the principal investigator, with approval by the appropriate dean and vice president.

With prior approval, a research associate or a research associate (postdoctoral fellow) may apply for grants as principal investigator. Such approval should be sought prior to making application for a grant and a written request for approval should be made on the associate's behalf by the department chair or institute director for approval by the vice president for research. Such requests should include the candidate's vita and appropriate recommendations.

**Senior Research Associates** The academic qualifications for senior research associates are the same as for research associates, but senior research associates are expected to have done significant research at the postdoctoral level and to have research publications equivalent to those of an associate professor. The time spent in research since the doctorate (or its equivalent) should be approximately the same as that expected for promotion from assistant to associate professor.
It is expected that senior research associates will apply for grants as principal investigators and will conduct independent research. They may serve on graduate committees and teach graduate courses (to the extent permitted by grant policy). They are often individuals who, given funding availability and quality performance, are expected to have a long-term, but non-tenured, relationship with the University. Salaries and salary increases are determined by recommendations from the appropriate deans, department heads and/or institute directors to the appropriate vice president.

Under special circumstances, a department may wish to designate a senior research associate as a research professor or associate professor and certain grant activity may require appointing research staff with teaching faculty titles. These titles are not officially recognized within the administrative operations of the Oregon University System, but can be afforded as a courtesy in appropriate situations. Interested department heads should check with the vice president for research about this possibility.

**Obtaining Approval for PI Status**

To request PI status, the cognizant department head or institute director must forward to the vice president for research a copy of the researcher's curriculum vitae or biographical sketch, along with a signed written request outlining the details of the grant application(s) and the justification for PI status. An approval is normally restricted to one specific grant application, one granting agency, or a limited time period.

PI status must be approved prior to clearance and submission of a grant application. For additional information on the academic appointment of individuals with research rank and professorial title, see the University of Oregon Faculty Handbook (1999) on the web at [http://academicaffairs.uoregon.edu/handbook/handbook.html](http://academicaffairs.uoregon.edu/handbook/handbook.html), the Academic Appointments Process and Other Academic Personnel Matters Guide (1994) at [http://academicaffairs.uoregon.edu/appointment/appointment.html](http://academicaffairs.uoregon.edu/appointment/appointment.html), and UO Policy Statements Section 3.0 at [http://policies.uoregon.edu/ch3index.html](http://policies.uoregon.edu/ch3index.html). The appropriate academic rank for new appointments supported by a grant may be determined through consultation with department heads, the provost, and the vice president for research.

**Non-Academic Unit PI Status**

Officers of Administration that hold the title of Director may act as a PI or Project Director for applications submitted to external organizations for grants or contracts. Directors of non-academic units may recommend officers of administration within their unit to the vice president for research for approval of PI status. Approval may be granted on an application-by-application basis, for a specific period of time, or during the tenure of the director.

**D. STUDENT PROJECTS**
Students or student groups may submit applications to external funding sources (for fellowships or in support of ASUO-sponsored projects, for example) with the sponsorship of a faculty advisor who qualifies as a principal investigator. Grants awarded to students or student groups may be administered through the department or ASUO (Associated Students of the University of Oregon); consult with ORSA for guidance.

For graduate students and post-doctoral fellows, the UO Graduate School, 125 Chapman Hall, ext. 6-2804, has a library and a computerized database on sources of external support for study and research. Applications for fellowships or research grants may be submitted by graduate students and postdocs under the sponsorship of a UO faculty member who has PI status.

E. COLLABORATIVE PROJECTS

1. Types of Collaborative Proposals

Proposals for collaborative projects usually involve faculty from more than one institution and are subject to the same policies and procedures as single-institution proposals. One of three types of collaborative proposals may be submitted, depending on the needs and scope of the project and the preference of the funding agency:

- Single proposal with a lead institution’s budget which includes subagreements for the other participating institutions, with one award to the prime institution;
- Separate collaborative but stand-alone proposals submitted by each institution to the funding agency, with separate awards; or
- Combined proposal for group projects, with individual budgets and work plans for each institution but submitted together in one larger proposal, with awards made to each institution separately or to one as prime institution which then issues subagreements to the others, depending on the agency's preference.

For any collaborative proposal, evidence of institutional approvals in the application is important both for proposal review and for determining the type of award required. Letters of endorsement and signatures of authorized officials from participating institutions are helpful for indicating to the funding agency that collaboration has been established at the time of proposal submission; that all parties are fully aware, and in approval, of the content of the study and the institution's commitment to the project; that the budgetary request is consistent with institutional policy and negotiated rates; and that award negotiations between collaborating institutions and the funding agency will be facilitated. All collaborator letters and approvals must be submitted to ORSA for final UO clearance of collaborative proposals. The UO budget must request facilities and administrative (F&A) costs at the current federal negotiated rate, whether UO is submitting as the prime institution or as a subrecipient.

The different types of collaborative proposals are further described below. Funding agencies will assist in determining how best to submit collaborative proposals. Their preference may be predicated on programmatic, administrative and/or financial
considerations. PIs should consult with ORSA prior to preparing a collaborative proposal.

2. Single Proposal with Subagreements

A proposal with subagreements generally has a prime budget for the lead or prime institution which includes subagreements for the other participating organizations. The lead institution should be so designated based on its substantive role in carrying out the project's activities and its assumption of overall administrative responsibility for the project. A subagreement is appropriate for the other participating institutions when discrete tasks are better performed by other institutions and when a written agreement will be entered into between the prime grantee and subrecipient.

Subagreements cover the costs of relatively independent work conducted on a project which cannot be accomplished within the institution. This work is subgranted or subcontracted out to individuals or organizations with the appropriate expertise. The total direct and F&A costs for each subagreement must be included in the prime budget. In addition, separate detailed budgets for each subrecipient should be attached to the prime budget. Subrecipients are generally allowed to include F&A costs at their organization's negotiated rate. Prime institutions are responsible for monitoring subrecipients for compliance with all federal regulations and grant conditions, and, as the prime institution, the UO charges F&A costs on only the first $25,000 of the subrecipient's budget to cover administrative expenses.

If UO is the prime institution with subrecipients on its budget, the other institutions must submit an approved work statement, budget, and other documents to the UO for inclusion in the proposal. An authorizing signature of approval from the subrecipient institution is required prior to including the budget and other documents in the UO proposal. If the UO is the subrecipient on a proposal submitted by another institution who is the lead, the UO portion of the proposal, along with the UO Proposal Clearance Form, must be reviewed and approved by ORSA prior to submitting the materials to the prime institution. All required agency forms, budget, work statement or proposal narrative, and other proposal sections for UO must be cleared by ORSA before mailing to the prime institution.

Once an award is received, the prime grantee institution will enter into a written agreement with each subrecipient. When the UO is prime and writes subagreements with agencies of other states or with foreign governments, additional time must be allowed to send the contract documents to the Oregon Department of Justice Attorney General's Office for review and approval prior to sending it to the subrecipient institution. ORSA will determine when DOJ approval is required for research subagreements and will prepare and send the documents to the AG Office for review and approval.

3. Separate Collaborative Proposals
In some cases, agencies prefer to receive a separate, complete proposal from each institution which references collaboration with other institutions but requests a separate award. This type of collaborative proposal more closely resembles a single-institution proposal and involves a less formal arrangement with other institutions for collaboration. Generally, separate proposals for collaborative research follow the normal proposal clearance process. Official, written approval from the collaborating institutions prior to UO clearance is not required. Under this arrangement, awards are independent, made separately to the collaborating institutions, and no formal subagreement is made between the parties.

4. Combined Proposal - Group Projects

This type of combined proposal contains an all-encompassing work statement, budgets from each institution, and information on all PIs and key personnel involved. Each institution's work plan and budget are complete and can stand alone, similar to a single-project proposal, but the proposal ties them together as a whole, to reinforce the proposed collaboration. Special instructions may be given by agencies for preparing this type of group proposal, such as one institution being responsible for mailing all the necessary copies while the other institutions send only their parts. Individual awards will likely be made to each institution, but one institution may assume the administrative or technical oversight and responsibility for the project.

If the UO has the responsibility for assembling and submitting this type of combined proposal, evidence of the other institutions' approvals is required prior to submission to the funding agency. A letter of endorsement or a signature of the authorized institutional official from each institution should be included with the combined proposal for UO clearance. If the UO is a participating institution on another institution's combined proposal, a letter or signature to accompany the UO's portion of the proposal will be provided by ORSA at the time of proposal clearance. Refer to Part 2, Section III of this manual for additional information on proposal clearance or contact ORSA.

F. CENTER OR INSTITUTE PROPOSALS

1. Definitions

Use of the term "center" or "institute" in proposals is legitimate in two instances: 1) when the center or institute is an official entity approved by the University and the State Board of Higher Education; and 2) in direct response to a funding agency's initiative to fund a center for a focused program, usually of regional or national scope. The terminology and appropriate uses are described below.

Centers and institutes authorized by the State Board of Higher Education are defined as follows:

Center: An administrative structure established for the promotion of interdisciplinary research on selected topics in a subject area, discipline or field of study.
Institute: An academic association of persons or organizations that collectively constitute a technical or professional authority organized to promote research in a particular field of study.

2. Board-Approved Center or Institute

According to policies adopted by the Board (March 25, 1977), centers and institutes are mechanisms to further institutional missions "through the fostering of interdisciplinary activities in pursuit of basic and applied research and instruction, the attracting of non-state funding, the motivation of faculty, the creation of flexibility in shifting resources to new and different constituencies as the need is apparent, and the strengthening of academic departments."

Justification for establishment of centers and institutes must be in terms of their potential for contributing to the achievement of the institutional mission; the source(s) of funding (e.g., federal or other grant support) is not sufficient justification. Centers and institutes are to be reviewed regularly to determine how well they are fulfilling their objectives, the validity of present objectives and purpose, adequacy of performance, and whether they should be retained or discontinued. Grant proposals submitted on behalf of a center or institute should restrict the use of either term to one of the definitions above and indicate whether it is an existing entity (i.e., Board-approved) or under development for consideration by the Board.

In establishing a new center or institute, the approvals of the appropriate dean, the vice president and the president are required prior to review and approval by the OUS Office of Academic Affairs, the Academic Council and the Board. Detailed procedures for seeking Board approval for a center or institute are available from the provost's office, ext. 6-3081.

3. External-Funded Center or Institute

Proposals may be submitted in response to a funding agency's initiative for center support. Unlike an officially-approved OUS entity, the funded center or institute is extant by virtue of its funding source (although it may seek official Board approval at some future time). This designation does not normally require prior Board approval; however, it is important that plans for such a center or institute be cleared by the vice president for research early in the proposal development process, for the purposes of meeting both the institution's and center's missions and for identifying long-term institutional commitments after the grant has ended.

G. PROGRAM PROPOSALS
Under OUS definition, "program" refers to a certificate or degree program, or a significant portion of a major degree program such as option, specialization, focus, emphasis or most of the credit hours in a major. Depending on the nature and extent of the proposed curricular changes, program proposals require institutional approval at the least, and may require Board approval and State Office of Educational Policy and Planning approval, prior to submission.

As noted on the UO Proposal Clearance Form, program proposals must be signed off by the appropriate dean before review and clearance by ORSA. Refer to Part 2, Section III of this manual for additional information on proposal clearance or contact ORSA.

Academic review requirements that apply to programs were revised in January 1992 and are available from the provost's office, ext. 6-3081.

H. FELLOWSHIPS

1. Faculty Fellowships

The University of Oregon’s Policy Statement 3.130 Compensation, Benefits - Faculty, titled “Payment of Uncompensated Salary and Other Personnel Expenses (OPE) on Major Fellowships,” is on the web at http://policies.uoregon.edu/ch3s.html. This policy, effective June 30, 1993, allows for augmentation of 9-month faculty salary and benefits during the academic year for recipients of major fellowships from extramural funding sources. Many prestigious faculty fellowships provide, in whole or in part, for the fellow’s direct salary only but not for OPE (also referred to as fringe benefits). To mitigate a potential financial hardship and provide uninterrupted health insurance coverage for the faculty member who accepts the fellowship to pursue full-time research, the UO will provide uncompensated salary and OPE under the following terms:

1. During a sabbatical year, the fellowship is expected to cover the portion of a faculty member’s salary not provided by the UO. The UO will provide 100% of OPE for the faculty member’s designated annual salary. The faculty member is eligible for this support every sabbatical year.

2. During a non-sabbatical year the UO will provide up to 30% of the faculty member’s designated annual salary for the period of the fellowship during the academic year (summer is not included), to cover the difference between the salary support awarded by the fellowship and the regular salary, as well as 100% of the OPE for the designated annual salary. The faculty member is eligible for this support once between sabbatical years. With approval of the dean and department head, this support may be received immediately before or after a sabbatical leave.

3. Eligible faculty must hold a tenure-related appointment of at least .50 FTE. The fellowship award period must be for at least a full academic term. The fellowship leave must be approved by the dean and department head. The faculty
member’s salary during the award period cannot exceed the usual UO salary amount for that period, and the fellowship must be paid through the regular UO payroll system. The fellowship must be in support of appropriate activities for the faculty member and in the best interests of the UO. Examples of fellowships that may be eligible under this policy are the Fulbright Scholar Award, John Simon Guggenheim Memorial Foundation Fellowship, Kellogg Foundation Fellowship, National Endowment for the Humanities or the Art Fellowships.

PROCEDURE:

The faculty member who is offered an eligible fellowship award and requests institutional compensation must complete, sign and obtain the signatures of the dean, department head, and vice president on the fellowship form "Award Information and Approvals", available on ORSA's web page at http://orsa.uoregon.edu/web/awards/Awards_Institutional_Compensation.html. The Office of Academic Affairs provides final signature and forwards the completed form and award notice to the Office of Research Services and Administration (ORSA) to establish a grant fund account for the fellowship funds.

Checks received with the award notice should be sent to ORSA for custody until this form is finalized. Checks should be made payable to the University of Oregon whenever possible. For checks made payable to the individual fellow, the check may be signed over to the University, or the individual may issue a personal check in the same amount, for deposit to a restricted fund account. If paying by an individual check, the faculty fellow will be asked to sign an agreement with the UO to pay the total amount from the fellowship that is paid out to the fellow as salary from the UO. Once the approval form is received in ORSA, and any written agreement for payment is signed by the fellow, a restricted fund account will be established for the award. Administrative support staff in the fellow’s department must process the necessary payroll forms to pay out the award as salary from the restricted fund account during the award period.

2. Student Fellowships

Applications for fellowships or research grants may be submitted by graduate students and postdoctoral fellows under the sponsorship of a UO faculty member who has PI status.

3. Postdoctoral Fellow Insurance Coverage

Postdoctoral fellows supported by fellowships paid directly to the fellow and not paid through the UO payroll system are still eligible for UO insurance coverage if funds are available from a secondary source such as a grant or department account. The Postdoctoral fellow needs to contact the Benefits Office in Human Resources to sign up for the insurance plan available to postdocs not receiving salary. Postdoctoral fellows are
given courtesy appointments in order to receive the insurance coverage through the university payroll system. Departments need to send an e-mail message to Payroll Office with the fellow's name, Social Security Number, and source of funding (Index or FOAP number). Payroll Office will pay for the insurance using a journal voucher transferring funds out of the account.

4. REU Awards on NSF Grants

REU awards (Research Experience for Undergraduates) are available to existing NSF awards. Normally, NSF will consider requests to support up to 2 students with total costs per year expected to be about $5,000 per student. Student stipends for summer projects are to be at least $1,000 per month; academic year stipends should be comparable on a pro-rated basis. All student costs should be entered at Line F—Participant Support, including the stipend, supplies, and travel costs for the student(s). An administrative allowance, which must be included in all requests, is computed at 25% of the student stipend, only, and is in lieu of F&A costs (and will be charged as F&A). [also see Cost and Expenditure Policies in Part 3]

I. COMPLIANCE REGULATIONS AND POLICIES

1. Certification of Compliance on Proposals

As a recipient of Federal funds, the University is required to certify compliance with multiple governmental rules, regulations, and standards. Researchers are also required to comply with institutional policies and procedures which implement state and federal laws and regulations governing research and scholarly activities. Some agencies require that special forms be signed and submitted with an application, while others provide only a check box or allow for the authorized institutional official's signature on a cover sheet or other standard form to provide certification. For Public Health Service/National Institutes of Health applications, completion of the checklist page and signature on the cover sheet provide this certification. A signature on the National Science Foundation's certification page, page 2 of the cover sheet, meets the certification requirement. Most applications to the U.S. Department of Education require a separate form(s) to certify compliance with federal regulations. For applications with check boxes, the following should be marked:

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<thead>
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</tr>
<tr>
<td>Debarred or suspended</td>
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</tr>
<tr>
<td>Drug-Free Workplace</td>
<td>yes</td>
</tr>
<tr>
<td>Lobbying with federal funds</td>
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</tr>
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</table>
2. Compliance Policies and Committees

**Human Subjects** - In accordance with federal policy (DHHS Policy 45 CFR Part 46, rev. July 1996), the University of Oregon assumes responsibility for the protection of the rights and welfare of human subjects who participate in research and other activities conducted by, or under the supervision of faculty, staff or students. This includes all projects whether unfunded, internally funded, or externally-funded through grants and contracts. The University’s Committee for the Protection of Human Subjects/Institutional Review Board (CPHS/IRB) reviews research, training and other activity protocols involving human subjects to ensure compliance with the University and Federal regulations and principles. Investigators must obtain approval of the CPHS/IRB prior to beginning a research project or expending funds on a grant or contract.

The Investigator’s Manual on Research with Human Subjects (rev. 10/00), found on the web at [http://darkwing.uoregon.edu/~humansub/manualcover.html](http://darkwing.uoregon.edu/~humansub/manualcover.html), provides detailed information on policies and regulations pertaining to research with human subjects as well as procedures for obtaining approval to conduct the research. The Manual is available through the Human Subjects Compliance Office (ext. 6-2510), the UO Bookstore (textbook section), the reserve section of the UO Library, and many department offices. A Protocol Packet is available from the Human Subjects Compliance Office, Suite 106, Riverfront Research Park. The University has a Multiple Project Assurance, #M1143, approved by the Department of Health and Human Services.

**Animal Subjects** - The University of Oregon’s policy on use of animals as research subjects or in instructional exercises is found at [http://policies.uoregon.edu/ch1a.html](http://policies.uoregon.edu/ch1a.html). It states:

> The purpose of research and instruction involving animals at the University of Oregon is the improvement of human or animal health, the advancement of knowledge, or the good of society. This purpose must always be satisfied. The use of animals should only be considered when no other practical alternative exists. When animals must be used, projects will be of sound design and offer every practical safeguard to the animals. (UO Policy Statement 1.000 Administrative Organization and Procedures, 3/8/89)

The Institutional Animal Care and Use Committee (IACUC) oversees the use of animals in University programs, and ensures compliance with facilities and procedures as prescribed by federal regulations. Copies of the University of Oregon Animal Care and Use Training Handbook (1/91) are available from the IACUC at ext. 6-0808 or 6-4958. The University’s animal care program has been accredited by the American Association for the Advancement of Laboratory Animal Care (AAALAC).

**Debarment and Suspension** - Applicants for financial assistance from any federal agency after November 30, 1988, are required to certify, among other things, that neither
it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any federal agency. The UO certifies that it is not a debarred or suspended institution.

**Drug Free Workplace** - In compliance with the provisions of the Drug-Free Workplace Act of 1988, the Drug-Free Schools and Communities Act Amendments of 1989, and OAR 480-22-045(5), (7), and (8), the University has issued a policy on the illegal use of drugs and alcohol by its employees. UO's Drug Free Workplace Policy can be found at [http://policies.uoregon.edu/ch3b.html](http://policies.uoregon.edu/ch3b.html). All University employees, as a condition of employment, must notify the University within five days if they are convicted of violating any criminal drug statute while on campus. Such notice must be given to the immediate supervisor and to the Office of Human Resources. In addition, if the employee is directly or indirectly engaged in the performance of a federal grant or contract, the Vice President for Research must give notice of the employee’s conviction to the applicable federal agency.

**Delinquent Federal Debt** - Applicants must certify that it is not delinquent on the repayment of any Federal debt. UO is not delinquent.

**Lobbying** - This law was signed on October 23, 1989, and imposes new prohibitions and requirements for disclosure and certification by applicants on using appropriated funds, other than profits from a Federal contract, for lobbying Congress or any Federal agency in connection with the award of a particular contract, grant, cooperative agreement or loan. UO does not lobby with restricted funds and a disclosure form SF-LLL is not generally required in applications.

**Procurement Integrity Act** - The Act requires certification by applicants and their organizations who participate personally and substantially in the preparation of a Federal contract offer or contract modification proposal that no competing contractor or any officer, employee, representative, agent, or consultant or any competing contractor shall knowingly make, directly or indirectly, any offer or promise of future employment or business opportunity to, or engage, directly or indirectly, in any discussion of future employment or business opportunity with any procurement official of such agency, offer, give, or promise to offer or give, directly or indirectly, any money, gratuity, or other thing of value to any procurement official of such agency, solicit or obtain, directly or indirectly from any officer or employee of such agency, prior to the award of a contract any proprietary or source selection information regarding such procurement.

**Financial Conflict of Interest** - Both NIH and NSF require applicant organizations to establish safeguards to prevent employees, consultants, or members of governing bodies from using their positions for purposes that are, or give the appearance of being, motivated by a desire for financial gain for themselves or others. Significant financial and personal interest is not limited to salaries and payments. It can also include holdings of principal investigators and key research personnel (i.e., those responsible for the conduct and reporting of research results), their spouses, and dependent children.
UO has a policy, 3.095 Potential Conflicts of Interest, located on the web at http://policies.uoregon.edu/ch3g1.html, to comply with these regulations. A disclosure form must be filed by the PI if there is a potential conflict of interest indicated in the application.

**Research or Scientific Misconduct** - Both NIH and NSF require all recipient organizations to comply with agency rules and regulations, establish administrative policies and procedures to meet the requirements, and report annually on possible misconduct in research and scholarly activities. UO's policy on misconduct, found at http://policies.uoregon.edu/ch2d.html, meets this requirement.

**Conduct of Research and Ethics in Research Training** - NIH GUIDE, Vol. 19, No. 30, August 17, 1990 - requires that a description of training program activities related to "instruction on the responsible conduct of research and ethics in research Training" be described in applications and implemented under awards for National Research Service Award (NRSA) Institutional Training Program grants.

**Program Income** - defined as gross income (revenue) derived from activities financed in whole or part with funds from a sponsored program award, with some exclusions. Program income includes, but is not limited to, income from fees for services performed, the use or rental of real or personal property acquired under federally-funded projects, the sale of commodities or items fabricated under an award, and interest on loans made with award funds (OMB Circular A-110). All PHS research proposals and many other federal proposals must address whether or not program income is anticipated from the project. The amount, source and intended use of program income is requested on the checklist page of a PHS grant application. Agencies will make awards which allow the recipient to use program income in one or more of the following ways: 1) add to project funds to further program objectives; 2) use to meet non-federal costshare requirements of the project; 3) deduct from total project costs to determine net share of federal costs (in effect, reducing the federal award). For research grants, the first option applies automatically unless the award terms and conditions specify otherwise. Upon termination of the award, program income earned after the project ends belong to the recipient without further obligation to the federal government.

**Inclusion of Women and Minorities in Clinical Research Study Populations** – NIH policy and guidelines on the inclusion of women and minorities as subjects in clinical research: http://grants.nih.gov/grants/funding/women_min/women_min.htm - all clinical studies supported by NIH must include women and minorities in the study populations or justify compellingly the reason for their exclusion. Failure to do so will be considered a weakness or deficiency in the study design and will probably result in non-funding. Additional information and guidelines are found in the PHS 398 application booklet.

When there is sound scientific rationale for including children in research, investigators will be expected to do so unless there is a strong overriding reason that justifies their exclusion from the studies. Although this is not an absolute requirement, applicants for NIH funding will be expected to address this issue in their proposals. Additional information and guidelines are found in the PHS 398 application booklet.

**Hazardous Substances** - The UO Radiation Safety Committee works with the Environmental Health and Safety Officer to set safety standards for the use of radioactive and other hazardous materials (including recombinant DNA). Approval for individual investigators to use these types of materials must be renewed every three years. For more information, contact the Office of Environmental Health and Safety.

**Fair Labor Standards** - The Fair Labor Standards Act of 1938 (and succeeding amendments) sets standards for minimum wage as well as defining a workweek (a workweek is 40 hours in this Act; OAR 105-010-0000 defines workweek as “a fixed and regularly recurring period of 168 hours during seven consecutive 24-hour periods). This Act also defines classes of employees that are exempt from both minimum wage and workweek standards. An exempt employee is “any employee employed in a bona fide executive, administrative, or professional capacity (including any employee employed in the capacity of academic administrative personnel …).”

**Affirmative Action** - As a recipient of Federal funds, the State of Oregon and the University of Oregon must comply with all Federal statutes relating to nondiscrimination. This includes prohibition of discrimination on the basis, of race, color, national origin, sex, handicap, and age. Contact ORSA for assistance with proposal sections requiring this information.

**3. Contacts**

For additional information or general assistance, contact the following:

Committee for the Protection of Human Subjects/Institutional Review Board (CPHS/IRB) - Juliana Kyrk, ext. 6-2510 or 6-3106
Institutional Animal Care and Use Committee (IACUC) - Monte Matthews, ext. 6-4958
DNA and Biosafety Committee - George Sprague, ext. 6-5883
Radiation Safety Committee - Don Elting, ext. 6-2864
Misconduct in Research Policy - Vice President for Research, ext. 6-3081
Conflict of Interest Policy - Vice President for Research, ext. 6-3081
Other proposal certifications: Drug-Free Workplace; Lobbying Activities Disclosure; Debarment; Federal Debt; Anti-discrimination; etc. - ORSA, ext. 6-5131

**J. COST ACCOUNTING STANDARDS**
1. Definition

Institutions of higher education and other federal grant recipients must comply with Cost Accounting Standards (CAS) in managing grants and contracts. CAS is mandatory for use by all executive agencies and by contractors and subcontractors in estimating, accumulating, and reporting costs in connection with pricing and administration of, and settlement of disputes concerning, all negotiated prime contract and subcontract procurements with the federal government in excess of $500,000, other than contracts or subcontracts that have been exempted by the CAS Board's regulations. CAS requirements are now included in OMB Circular A-21 "Cost Principles for Educational Institutions." Institutions receiving $25 million or more in sponsored agreements must disclose its costing practices and show compliance with CAS Parts 501, 502, 505 and 506 that require:
consistency in estimating, accumulating and reporting costs;
consistency in allocating costs incurred for the same purpose;
accounting for unallowable costs; and
defining the cost accounting period.

2. Consistency in Budgeting and Spending

Consistent treatment of costs is a basic cost accounting principle. Consistency is specifically required by OMB Circular A-21 to assure that the same types of costs are not charged to grants and contracts both as direct and F&A costs. This requirement ensures that the federal sponsor is not paying twice for the same type of costs in like circumstances. The concept of consistency is further reinforced and emphasized by Cost Accounting Standard 502, found in OMB Circular A-21, Section C.11.a. Consistency in the context of CAS 502 means that costs incurred for the same purpose, in like circumstances, must be treated uniformly either as direct costs or as F&A costs. Since certain costs such as salaries of administrative and clerical staff and office supplies are normally treated as F&A costs, these costs cannot be charged directly to federal grants or contracts unless the circumstances related to a particular project are clearly different from the normal operations of the institution.

For example, although office supplies are normally treated as an F&A cost, a particular grant or contract may have a special need for envelopes to mail hundreds of survey questionnaires. In this case, it is appropriate to charge the grant or contract directly for the envelopes required to conduct the survey because those needed would significantly exceed the quantity routinely provided by the office. The mailing of the questionnaires creates an "unlike circumstance" for envelopes and other supplies used for the survey, but not for other routine office supplies unrelated to the survey.

As required under CAS, the University of Oregon has filed a disclosure report identifying its costing and accounting practices to ensure they meet CAS standards. [also see Cost and Expenditure Policies in Part 3]
K. COSTSHARE AND MATCHING FUNDS

1. Definitions

Costsharing is a contribution of cash or services provided by the grantee institution or third-parties to the overall costs of a sponsored project. If costsharing is required by the funding agency, the level and type of contributed support are generally specified in program guidelines or application instructions.

Mandatory costshare is a specified amount required by statute, regulation or written policy.

Voluntary costshare are those commitments made beyond any mandatory levels of costshare.

Matching funds are required by statute generally as a specified percentage of program or project costs in order to be eligible for the sponsor's funding. This requirement may be stated either as a specified or minimum percentage of total allowable costs or a maximum sponsor percentage of participation in such costs (Examples: Applicant must provide an amount equal to the sponsor's funds -- a 50% or 1-1 match; Applicant must provide 20% of total project costs; Sponsor will provide funds not to exceed 80% of total project costs).

In-kind contributions will be only third-party contributions of services, goods or cash. Any contributions by the University will be considered cash costshare for the purposes of documentation and reporting.

2. UO Policy on Costshare Commitments

Contributions included in a proposal that are not required by the program, sponsor policy, or statute are called voluntary costshare. The UO discourages voluntary costshare contributions as a matter of principle. Voluntary costshare has a negative impact on the institution as a whole: 1) scarce institutional resources (cash and in-kind) must be reallocated to a sponsored project; and 2) the University's F&A rate may ultimately be reduced. Costsharing of faculty or staff effort in the form of salaries and benefits becomes part of the organized research base for negotiating the F&A rates. As the organized research base grows, F&A costs are spread over a bigger base and there is potential for a reduction in the negotiated rates, resulting in less recovery by the institution for F&A costs. It is therefore very important not to volunteer funds or resources when the sponsor does not require them and when the project can be completed without them.

For UO purposes, in-kind contributions will be only third-party contributions of services, goods or cash. UO contributions can include cash from existing UO accounts for state general funds, ICC (returned indirect or F&A costs) funds, non-federal grants, and gifts earmarked for and under control of the PI for use on the project. For example, faculty salaries and benefits plus associated F&A costs equivalent to the effort devoted to a
project would be an allowable UO costshare contribution, as would $500 from a supplies budget dedicated to the project and spent as needed on project activities. Matching funds are generally used toward the purchase of a piece of equipment, to assist in the construction of a facility, or are cash donations (in the form of gifts or grants) to a challenge grant.

3. Allowable Costs as Costshare

Depending on the program or agency, costshare commitments may be satisfied by providing cash, in-kind services or supplies, tuition waivers, faculty or staff effort devoted to the project, or waived facilities and administrative (F&A) costs. The proposal must specify the type of costshare, including individuals' names and % of effort, the amounts, and the source of funds for costshare obligations. Allowable costshare must be for costs that comply with federal cost principles and award terms. They must be costs that are allowable and allocable, necessary and reasonable, and verifiable and accounted for in the institutional records.

Cash costshare can include dedicated dollars (such as for equipment purchase) from a UO department or institute operating account, from another grant (non-federal grants, federal workstudy funds, or another federal grant after prior approval obtained from the agency), or from other third-party sources (cash gifts or grants from individuals, industry, foundations, etc.) if not already committed to another project as costshare. It also includes donated UO faculty or staff time that is already paid for by another non-federal account and the associated benefits and F&A costs on the UO contributions. F&A costs not chargeable to the grant when the funding agency limits the applicable F&A rate may serve as cash contribution, as long as the agency allows the difference between the limited rate and the institution’s federal negotiated rate to be used as costshare. In-kind costshare is donated services and goods from any eligible third-party source; that is, services, supplies, equipment or other items purchased or donated by a non-University source but dedicated to and documented for the specific project. Volunteer services are eligible when the effort is tracked and fairly valued.

An on-line Costshare Commitments form is available on ORSA’s web site at http://orsa.uoregon.edu/web/proposals/proposals.html under Proposal Processing System (PPS). The PPS system assigns an institutional proposal number for the application and allows access to the cost share form, which must be completed, printed and attached to the proposal for final proposal clearance.

4. Agency Guidelines

Most federal agencies follow these same definitions or with minor variation. The Department of Health and Human Services' policy on costshare states:

“For purposes of this GPD and 45 CFR Parts 74 and 92, A requirement for a grantee to provide matching funds or share in the costs of a project, the percentage or amount of matching or costsharing, and any limitations or exclusions will be based on the program's authorizing statute, program regulations, or a fully documented administrative rationale. HHS does not have a
general policy requiring matching or costsharing or specifying a minimum percentage or amount.

The costs borne by the matching or costsharing and in-kind contributions are subject to the rules governing allowability in 45 CFR 74.23 or 92.24, including allowability under the applicable cost principles and conformance with other terms and conditions of the award that govern the expenditure of Federal funds. "

The National Science Foundation's policy (May 1999) on costshare states:

"Costsharing is defined in OMB Circular A-110. For NSF purposes, and consistent with A-110, it also includes and is synonymous with the term "matching." For NSF, costsharing should be used with reference only to quantifiable and auditable contributions from non-NSF (and non-Federal) sources to NSF-supported activities. In the case of in-kind contributions, a quantifiable and auditable value must be established. In accordance with Congressional requirements, NSF requires that each grantee share in the cost of NSF research projects resulting from unsolicited proposals. These requirements may be met by the recipient through costsharing a minimum of one percent (1%) on the project or by costsharing a minimum of one percent (1%) on the aggregate costs of all NSF-supported projects subject to the statutory requirements. (NOTE: the UO does not generally include the required 1% on each individual proposal but rather reports it in the aggregate; PIs should not include this type of costshare on the budget form line M, which should only reflect costshare beyond the 1% statutory requirement.)

NSF costsharing requirements beyond the statutory requirement will be clearly stated in the program announcement, solicitation or other mechanism which generates proposals to the program. NSF-required costsharing is considered an eligibility rather than review criterion.

For unsolicited research and education projects, only statutory costsharing will be required. This includes all proposals submitted solely in response to the GPG. (Note: some programs have special "flyers," for equipment/instrumentation proposals for example, which reference GPG requirements but have special provisions on costsharing. For these purposes, such proposals are not submitted "solely" in response to the GPG.)"

5. Documenting and Reporting

Whether mandatory or voluntary, in-kind or cash, if the UO proposal to a federal or non-federal agency contains an offer of costshare contribution, and/or the award document includes a costshare amount, the UO must collect and document this amount during the project and report it to the funding agency to be in compliance with federal regulations and audit requirements. PIs should limit mention of costshare outside the budget or budget justification pages, as many agencies and auditors are counting as costshare any other commitments made in the proposal narrative that may have been intended to show institutional support rather than actual costshare. Consult with ORSA staff with assistance in describing institutional support in the text.

The award document or attached approved budget should contain the final and reportable amount of costshare. This amount may vary from the proposed costshare in the original application. If the award document does not specify a costshare amount, then the amount originally proposed and appearing in the budget or budget justification will be the official
final costshare required. If the award is for a reduced amount from the original proposed budget, ORSA will prorate the final costshare commitment in a like amount.

Principal Investigators (PIs) are responsible for identifying, accumulating, and reporting the required costshare on a grant. Should the costshare commitment not be completely fulfilled, the award could be reduced in a proportionate amount. Since most federal and some non-federal awards are spent before actual funds are received, this could result in the University paying back funds to the sponsor. [also see Costshare Reporting and Documentation in Part 3]

L. ACTIVITY REPORTING

Under Office of Management and Budget (OMB) Circular A-21 "Cost Principles for Educational Institutions," institutions receiving federal support must maintain supporting documentation of salaries and wages charged, directly or indirectly, to sponsored agreements. The activity reporting system is used to meet this purpose, as well as to serve as documentation of cost shared salaries and wages on grants and contracts. Information on faculty, students and staff who are subject to the activity reporting system must be provided on a regular basis and certified by the appropriate authorized individuals that the salaries and wages charged to activities supported by federal, non-federal, and institutional funds are reasonably consistent with actual effort in those activities. [also see Activity Reporting in Part 3]

M. COST POLICY

1. State Board Policies

The Oregon State Board of Higher Education's Internal Management Directives govern, among other administrative areas, the management of funds by institutions with the Oregon University System. Under Section 6, Finance and Business Affairs, institutions are required to maintain fiscal services and accounting records which meet generally-accepted accounting principles, comply with state and Board policies and regulations, meet standards required under state and federal audit, and discharge the Board's fiduciary responsibility to the people of the State of Oregon.

The Board's policy at 6.100 requires that institutions seek reimbursement for all direct and full facilities and administrative or F&A costs (formerly called indirect costs) associated with every grant and contract and that budgets include all recoverable direct costs and F&A costs at the full rate allowed. In exceptional circumstances, less than full F&A rates may be approved by the institution's president or designee.

In implementing the Board's policies and federal regulations, the University follows established standards for determining how costs are charged under grants and contracts in support of instruction, organized research, other sponsored activities and other institutional activities. The criteria for determining when costs incurred for the same
purpose, in like circumstances are treated either as a direct cost only, or as F&A costs only, with respect to final cost objectives are described below. Particular emphasis should be placed on items of cost (e.g., supplies, materials, salaries and wages, fringe benefits, etc.) that may be treated as either direct or F&A costs, depending upon the purpose of the activity involved.

2. Federal Government Regulations

The University follows the general guidelines in sections D and E of OMB Circular A-21 in determining the treatment of costs as direct or as facilities and administrative or F&A costs. Accordingly, costs that can be identified specifically with a particular sponsored project, instructional activity, or other institutional activity, or can be directly assigned to such activities relatively easily with a high degree of accuracy, are treated as direct costs. Conversely, costs incurred for common or joint objectives which cannot be identified readily and specifically with a particular sponsored project, instructional activity, or other institutional activity, are treated as facilities and administrative costs or F&A. The University's facilities and administrative costs are consistent with the definitions of specific F&A categories in section F of Circular A-21.

The University also follows the guidelines of Section F.6.b of Circular A-21, which specify the normal treatment of certain costs commonly incurred by academic departments and organized research units. Additionally, the University relies on the judgment of sponsoring federal agencies, and the actions they take on grant applications and contract proposals in determining the treatment of certain types of costs as direct or indirect. It is the responsibility of the department incurring the cost to classify costs incurred for the same purpose, in like circumstances, consistently as either direct or facilities and administrative costs.

For example, administrative and clerical costs, which under F.6.b. of A-21 are categorized as F&A costs, may be directly charged to the sponsored agreement when the nature of activity performed is different (thus creating an "unlike circumstance") than the usual activities performed by the administrative personnel.

The University relies primarily on principal investigators or their designee to determine whether direct charges for administrative or clerical salaries, office supplies, postage, memberships, and similar costs are appropriate for a particular project, and to fully justify these costs to sponsoring agencies in grant applications and contract proposals. If the sponsoring agency accepts the cost, as part of the direct project budget (i.e., does not specifically disapprove the item in the award or other notification to the University), then the University will consider the cost an appropriate direct cost of the project. On the other hand, if the sponsoring agency specifically disapproves the cost, the University will rely on the sponsoring agency's judgment that the cost did not meet the criteria for direct charging and will treat the cost as an F&A. If circumstances arise at a later date that justifies direct charging of the costs, the University will seek reconsideration by the awarding agency. [also see Cost and Expenditure Policies in Part 3]
N. FACILITIES AND ADMINISTRATIVE COSTS

1. Definition

Facilities and administrative (F&A) costs, formerly referred to as indirect costs, are real costs of doing research, instruction and other sponsored activities that are not easily identifiable with a particular sponsored project. F&A costs are expenses incurred by the institution for joint or centralized activities such as building and equipment use and depreciation, operation and maintenance costs, central and departmental administrative costs, sponsored projects administrative costs, library expenses, and student administration and services. Looking at it another way, F&A costs are those costs that are not classified as direct. Direct costs can be identified specifically with particular cost objectives such as a grant, contract, project, function or activity.

The institution's recovery of funds for F&A costs is based on its negotiated rates with a federal agency, which are applied to part or all of the direct costs on sponsored projects. When the University does not recover F&A costs from a sponsor, it must cover these costs from other University funds.

The University has a negotiated agreement with the federal government through its cognizant audit agency, Department of Health and Human Services (DHHS). The latest agreement is dated December 18, 2001, and provides rates for F&A costs on proposals submitted on or after July 1, 2002, through June 30, 2004, and provisionally from July 1, 2004 until amended.

Principal investigators should consult with ORSA for assistance with determining appropriate categories and for current rates.

2. Rate Categories

Research: applicable to basic, applied and developmental research projects, and to conferences, colloquia and seminars whose principal purpose is to disseminate, exchange or share research findings.

Off-campus Research: applicable to all activities that are conducted in facilities that are not owned or operated by the University and for which charges of facilities, utilities, and/or janitorial services are direct expenditures. A project will also be considered off-campus if more than 50% of the project expenditures are for off-campus activity (excluding subagreements). Projects may be either on-campus or off-campus during a given project period but not both during the same budget period.

Project-related work conducted in a location of convenience such as home, vacation site, or other work site not owned or operated by UO does not qualify a project for the off-campus rate. To qualify for the off-campus rate, either the project must be direct-charged for the non-UO facility’s use, maintenance and utilities; or the performance of the project can only be accomplished by spending a significant portion of the time associated with the total project budget at another location and the project work is the primary reason to
be located off-site (e.g., specialized equipment access, field work, specialized library access, extended collaboration with colleagues, and research or training in off-site laboratories). Travel to meetings or conferences does not count toward meeting the criterion of >50% project expenditures for an off-campus rate.

**Instruction:** used on instructional and training projects and activities involving for-credit or non-credit programs. In reality, most sponsors of instructional and training grants have mandated lower rates, reflecting their expectation that the institution will subsidize instructional grants.

**Public Service:** used for programs that primarily benefit the community through training of or service to a non-university, non-registered constituency.

### 3. F&A Rates

These negotiate rates are effective July 1, 2001 - June 30, 2004, and provisionally July 1, 2004 and thereafter until amended; Current Rate Agreement is dated 12/18/01.

<table>
<thead>
<tr>
<th>Category</th>
<th>Rate</th>
</tr>
</thead>
<tbody>
<tr>
<td>Research on-campus</td>
<td>49%</td>
</tr>
<tr>
<td>Research off-campus</td>
<td>26%</td>
</tr>
<tr>
<td>Instruction</td>
<td>54%</td>
</tr>
<tr>
<td>Public Service</td>
<td>32%</td>
</tr>
</tbody>
</table>

Rates are applied to a modified total direct cost base (MTDC); that is, all direct costs excluding 1) capital expenditures (alterations, renovations, and equipment), 2) student support and participant costs (tuition, fees, stipends, fellowships and scholarships, etc.), 3) patient care costs, 4) rental costs for space, and 5) that portion of a subgrant or subcontract in excess of $25,000, regardless of the period covered by the subaward.

F&A costs on grants and contracts with State of Oregon agencies are at 26% based on MTDC. This reduced rate is in recognition of the budgetary assistance provided by the state to the University through the general fund budget. "State of Oregon agencies" means only entities of the State and do not include counties, municipalities, schools or educational school districts, etc. Proposals to these entities should use the federal negotiated rates unless otherwise limited by statute or program guidelines.

For the purpose of estimating budgets for future years not covered by the current negotiated agreement, use the last negotiated rate applicable to the project being proposed. Resubmissions of revised proposals and competing continuation applications (renewal applications) must use the current negotiated rate at the time of submission.
4. Distribution of Recovered F&A Funds

The University has instituted a program that returns on a pro-rata basis, depending on the actual F&A rate applied to the grant, up to 26% of the total F&A cost dollars recovered on a grant or contract, to the units that generate this income. This program is continuing even though the administrative component of the F&A rate has been capped at 26% by federal legislation but actual institutional costs exceed this cap. The vice president for research determines the amount of return to each unit based on an annual report of F&A charges at the close of each fiscal year, and any previously-arranged waivers or other special circumstances.

5. Waiver of F&A Rates

Some funding sources (such as private foundations) impose a restriction on F&A costs or overhead, by rate or dollar amount, or disallow these costs entirely. Written documentation of such a policy must accompany proposals throughout the proposal clearance process. Exceptions to using one of the federally-negotiated rates, other than those imposed by a funding source, must be approved by the vice president for research. An exception must be requested in writing and submitted to the vice president for research at least one week prior to proposal clearance.

O. GIFT AND INTEREST-BEARING ACCOUNTS

1. Gift Accounts

Funds received from non-governmental sources for research or other project support may be considered gifts when no specific product or service (including technical or financial reports) is required in return for the funds. A gift account differs from other types of accounts used for research grants and contracts. Depending on the donor’s instruction, a gift account might be open-ended and without a termination date for spending the funds. Gifts generally do not have a budget for expenses, or restriction on spending. A gift account is always established as an interest-bearing account, while other types of accounts may or may not earn interest. Gift accounts must have a net positive cash balance each year to avoid a penalty charge. Gifts generally are not assessed F&A costs.

2. Interest-Bearing Accounts

Interest-bearing accounts for gifts and for some other types of awards (including research grants for which funds are received up-front) are established whenever the award funds are received in full at the beginning of the project (a check is often received with the award notice or immediately upon signed acceptance of the award). Generally funds eligible for interest-bearing accounts are received from private sources or, in rare cases, state agencies. Federal funds may not earn interest beyond a low threshold, or it must be returned to the federal government.
Interest-bearing account cash is invested by the state treasurer and earnings are distributed quarterly based on the average monthly cash balances in the account during the prior quarter. The interest is then credited to the account. (Recent earnings have averaged about 8% per annum.)

A deficit monthly cash balance (i.e., overspending that results in a negative balance month to month) will result in interest charged to the account at the same rate used for distributing interest earnings. This potential for interest charges should be seriously regarded for two reasons: 1) interest charges can negate any interest earned and, with repeated monthly deficits, may reduce the principal amount of the original award; and 2) once an award is recorded as a gift, it cannot be changed to another account type to avoid or erase interest charges incurred.

Spending authority over the interest is first determined by the grant award terms and conditions. If the award terms specify that any earned interest must be used for project activities, the interest is made available to the principal investigator for this purpose. If this is not specified, and F&A costs are included at the full negotiated federal rate for research, the principal investigator can spend the interest as discretionary funds, either from the original account or from a separate account to be established with no termination date. However, if the F&A rate is less than the full research rate, or no F&A costs are included in the grant, the University, under the auspices of the vice president for research, retains spending authority over any earned interest and ORSA will transfer out the funds to a central pool. [also see Interest-Bearing Accounts in Part 3]

P. OUTSIDE CONSULTING BY FACULTY

Faculty may engage in limited outside consulting without formal disclosure and prior approval as outlined in the policy on potential conflict of interest found on the web at http://policies.uoregon.edu/ch3g1.html. For consulting in excess of the stated limitations, faculty should consult with their department head and/or dean to determine whether a contractual agreement to include payment for the faculty consultant's salary and benefits, other associated direct costs, and University F&A costs is appropriate, or whether leave without pay is warranted. Consulting at these levels may result in reduced teaching time, to be arranged with the appropriate head and dean. More information can be found in the Faculty Handbook, Chapter 4, C., found at http://academicaffairs.uoregon.edu/handbook/Chapter04.html#C, as well as in the State Board of Higher Education's Oregon Administrative Rules at 580-21-020 through 025.

Q. OVERLOAD COMPENSATION ON GRANTS

Additional compensation is any compensation other than administrative stipend paid to a faculty member for additional services for campus sponsored activities in addition to their full-time, 1.0 FTE (Full-Time Equivalency) salary. Time spent in support of grant and
research activities shall not be allowable activities for additional compensation except under extraordinary or emergency circumstances. The policy is on the web at http://darkwing.uoregon.edu/~committees/policies/ch3h.html, and the form for requesting overload compensation, which must be approved by the Provost, is at http://baowww.uoregon.edu/banner/hris/forms/pdf/rac.pdf. Some sponsors have specific requirements or restrictions regarding payment to faculty for overload on a grant and ORSA will review all requests when grant funds are involved.

R. CLASSIFIED AND PROPRIETARY RESEARCH

Current UO policy prohibits faculty from performing classified research under the auspices of the University, as described in the Faculty Handbook at http://darkwing.uoregon.edu/~acadaff/documents/facultyhandbook/Chapter03.html#C and in UO policies at http://darkwing.uoregon.edu/~committees/policies/ch2b.html.

Some sponsored research projects require faculty or students to gain knowledge of proprietary information from a private company, such as a new drug or computer code. Both the extent of the proprietary information and the restrictions required by the sponsor on UO personnel, including students, regarding its use or non-disclosure of the information must be carefully reviewed by all parties including ORSA and the department head or dean prior to entering into an agreement with the sponsor. The acceptance and use of proprietary information or material by UO personnel must not compromise or diminish the freedom of publication or discussion, including the ability of students to present their research findings in oral examinations, thesis or dissertation publications, or in faculty scholarly articles or presentations.

UO grants or contracts may contain proprietary information on faculty research, which should be carefully reviewed and marked by the principal investigator and key personnel to protect the intellectual property of the UO. Questions regarding proprietary research or marking an application appropriately should be addressed to the Office of Research Services and Administration or Technology Transfer Services.

S. ACADEMIC FREEDOM AND PUBLICATION

Faculty at the UO in tenure-track positions are expected to conduct research or creative activities with the intent of contributing new knowledge in their discipline or profession. Scholarly contributions are evidenced by peer-reviewed publication or production of the research or creative activity, and are a key component in the successful promotion and tenure of faculty. Therefore, UO makes every effort to ensure that terms and conditions associated with grants and contracts will not impede the faculty's efforts to publish or produce the knowledge generated from external support. The University not only prohibits classified research, but it will not allow a sponsor to halt or impede publication of research results for any unreasonable amount of time. Both the Faculty Handbook, especially Chapters 3 and 6 found at http://academicaffairs.uoregon.edu/handbook/tcontents.html,
and the Faculty Guide to Promotion and Tenure found on the web at http://academicaffairs.uoregon.edu/tenureguide/tenureguide.html address the issue of publication in more depth. Faculty should contact ORSA immediately if a potential sponsor has indicated a desire to suppress or impede publication under a sponsored agreement.

T. TECHNOLOGY TRANSFER AND INTELLECTUAL PROPERTY RIGHTS

The Office of Technology Transfer Services (TTS) assists researchers with identifying and evaluating new discoveries for potential commercialization. TTS works with ORSA in preparing contractual agreements with industry or other sponsors to protect the intellectual property rights of UO researchers. These rights are described in various State and University policies as found on the web at http://darkwing.uoregon.edu/~techtran/. Once an invention is identified, TTS handles the patent application and negotiates licensing agreements to ensure product development and royalty payments to the University and faculty inventor. TTS also reviews and signs material transfer agreements and annual and final reports on inventions to federal agencies. Faculty and other employees are required to file an Invention Disclosure form through TTS when a potential invention or discovery may result in a patentable invention. This form is available on Technology Transfer Services web page, along with various agreement forms, at http://techtran.uoregon.edu/.

U. PROPOSALS TO PRIVATE FUNDING SOURCES

Special policies and procedures beyond the normal University proposal clearance process must be followed for submitting proposals to private funding sources including corporations and foundations. These policies apply to all requests for support, including research, projects, programs, and development activities.

Corporations and private foundations have varied expectations and guidelines for how they wish to be approached by an institution as complex as the UO. Many place restrictions on the number of proposals that an institution can submit at any one time. In order to avoid potential conflict, the UO has established, through the Office of Corporate and Foundation Relations (CFR), a centralized system for approving and tracking approaches to private foundations and corporations. The CFR office works closely with the offices of Research Services and Administration (ORSA) and Research and Faculty Development (RFD) to manage the system. The CFR office also serves as a liaison between the University and UO Foundation for submitting, managing and reporting on support from private funding sources.

PLEASE NOTE: Obtaining CFR approval for access to private sources is in addition and prior to institutional clearance of proposals by ORSA. Details on obtaining approval from CFR to submit proposals to private sources and on obtaining University approval from ORSA for final submission of proposals are given in Part 2, Section III of this manual [see Proposal Clearance and Submission in Part 2, Section III].
The following procedures should be followed by faculty, department grant administrators, development officers and others interested in seeking support from private sources:

1. **Funding Sources**

Prospective applicants should conduct research on which corporations and foundations have an interest in supporting projects in the relevant area and match the proposed project or activity to a sponsor's interests. The RFD office provides resources and assistance to applicants seeking grants from private sources. Please refer to the RFD web site at [http://rfd.uoregon.edu/](http://rfd.uoregon.edu/) for more information.

2. **CFR Approval**

The Office of Corporate and Foundation Relations has lead responsibility for all requests to corporations and foundations. If you plan to submit a proposal or letter of intent to a corporation or foundation, please contact the offices of CFR, RFD or ORSA as early as possible.

For competitive grants for research or program support, CFR does not need to give prior approval to approaches to the corporations or foundations listed in our website ([http://orsa.uoregon.edu/web/proposals/proposals.html](http://orsa.uoregon.edu/web/proposals/proposals.html)).

After receiving a request to approach a corporation or foundation, the CFR director in consultation with appropriate UO offices will approve the request if a proposal is not in conflict with any of the following:
- University priorities for that particular private source
- Proposals already under development for submission to that source
- Proposals already pending at that source
- Restrictions imposed by the funding source

For sources that require a letter of intent before formal proposal submission, CFR approval is necessary before submitting a letter in order to avoid potential conflict with other proposals from the UO. Other factors being equal, CFR approval is granted on a first-come, first-served basis; thus, it is in the best interest of prospective applicants to submit requests for approval as early in the process as possible.

3. **Proposal and Budget**

The RFD office will provide assistance with proposal development and ORSA will assist with budget development. Facilities and Administrative (F&A) costs should be included in a budget to private sources at the University's current, federally-negotiated rates unless the funding agency has a written policy of paying F&A costs at a rate less than the University's negotiated rate and applies this policy uniformly to all grantees of the agency. Applicants submitting a budget with a rate other than the negotiated rate must
provide documentation of the agency's policy (copy of program guidelines, policy statement or signed letter from agency) throughout the clearance process.

4. Institutional Clearance

Please review the proposal clearance information in this manual or contact ORSA (346-5131) for information.

For further information or for a copy of the UO Guidelines for Submitting Proposals to Corporations and Foundations, contact the Office of Corporate and Foundation Relations at 6-3173.

V. FUNDS MANAGED BY THE UO FOUNDATION

The UO Faculty Handbook, on the web at http://academicaffairs.uoregon.edu/handbook/Chapter09.html#E addresses management of private funds for research as follows: "While most of the research funds applied for and received by the University come from federal or other governmental sources, support is also received from private sources such as foundations, corporations and individuals. Management of these funds will generally fall to the Office of Research Services and Administration (ORSA). However, if the private source is required to grant directly to a 501(c)3 non-profit, tax-exempt entity, the funds may be received and administered by the UO Foundation. The UO Foundation cannot pay salaries and wages to UO employees; therefore, gifts or grants in support of salaried activities should be made to the University whenever possible."

As specified in ORS Chapter 351 and OAR 580-046-0035, in accepting gifts of any kinds, a foundation shall:
(a) Obtain institution approval of any restrictive terms and conditions, and advise donors that a restricted gift for the benefit of the institution may not be accepted without institution approval; and
(b) Coordinate with the institution's development office or other appropriate institutional officer regarding funding goals, programs or campaigns proposed by an institution.

ORSA is the authorized institutional office that will review terms and conditions on gifts or grants to be managed by the UO Foundation prior to their acceptance. While the UO Foundation may serve as the official recipient of the funds on behalf of the University, it relies on the PI and University officials to maintain adequate financial records for reporting and audit purposes.

Contact ORSA at 6-5131 with any questions concerning when funds may be deposited to the UO Foundation.
W. RECORDS RETENTION

1. University of Oregon

The UO is subject to OUS General Records Retention rules as found in OAR 166-475-0060. A new schedule for records retention, found on the web at http://libweb.uoregon.edu/specoll/archives/schedule/index.html, was implemented November 1999, replacing the 1996 UO records policy. The OUS records retention schedule may be revised in the future for UO use, to reflect special institutional information. Records are to be kept for as long as the retention period required for the type of record and no longer. It is very important to destroy records in a timely, regular and appropriate fashion for legal and fiscal reasons. Departments and PIs are most concerned with the following schedules:

- **Grant Projects Research Records**, which include research data, working papers, reports and related documentation and correspondence. Retention for the final research report is permanent; all other records are retained for 5 years after final financial report is submitted and account is closed unless otherwise specified as longer by terms of contract.

- **Grant Proposal Funded Records**, including grant proposals, supporting statistics or demographic data, draft proposals, suggested revisions, final proposals and related documentation. The record copy is permanent; other copies are 3 years after final financial report is submitted and account is closed unless specified otherwise by the terms of the contract.

- **Grant Proposal Unfunded Records**, includes proposals not funded and supporting documentation. Record copy if 18 months after submission; other copies are 18 months after submission.

The official file for accounting of grants and contracts is held by ORSA for 5 years after final financial report is submitted and account is closed unless otherwise specified as longer by the terms of the contract. Other copies (department) is 3 years after final report and account is closed, or 3 years after audit, whichever is longer. Human subjects records are held by the UO's CPHS/IRB compliance officer and retained for 3 years after completion of the project. Animal care and use official records are retained by the university review committee for 3 years after start of the research project; other copies are retained for 1 year after start of the project.

2. Federal Agencies

Federal agencies' policies on record retention vary, and it is important to know what the terms and conditions are for keeping and destroying records under a specific grant or contract. Following are the general policies of several major funding agencies.

The National Institutes of Health policy states that grantees must generally retain financial and programmatic records, supporting documents, statistical records and all other records of a grantee required by the terms of a grant or reasonably pertinent to a grant for a period of 3 years from the date the annual Financial Summary Report (FSR) is submitted. For awards under SNAP, the 3-year retention period is calculated from the
date the FSR for the entire competitive segment is submitted (at the end of the project period, normally). Retention periods for other records, such as property records or records of contracts under grants, are described in 45 CFR 74.48 and .53 and 92.36 and .42.

The National Science Foundation has a 3-year retention period from submission of the final project report, unless audits, appeals or litigation require longer retention. Records related to projects with special program income conditions are to be retained for 3 years from the end of the fiscal year in which the grantee's obligations expire. The U.S. Department of Education has a 3-year retention period from the date of submission of the final expenditure report. But for awards that are renewed quarterly or annually, the 3 year period is from the date of submission of the quarterly or annual financial report (this means that the 3-year period rolls with each annual award received throughout the project period).
I. PROPOSAL DEVELOPMENT

A proposal is a formal request for financial support for a research, instructional, or public service project. In general, it consists of three parts: a technical narrative, a budget, and significant supplementary materials. The technical narrative must be a concise and coherent explanation of a research or training plan which has specific and reasonable goals. It should establish the significance and objectives of the proposed work, its relation to the larger field of which it is a part, the rationale and suitability of the methods to be employed, the abilities and qualifications of the investigator(s) and institution, and a procedure for evaluating the progress and outcomes of the project. The budget is a best estimate of the funds required to carry out the statement of work. It should include a reasonable amount of detail showing how figures were derived and any established institutional rates, followed by a budget justification. Finally, a proposal may have relevant supporting materials, such as current vitae of principal participants, reprints of significant articles applicable to the proposed project, and letters of collaboration and support.

A. OFFICE OF RESEARCH AND FACULTY DEVELOPMENT

The Office of Research and Faculty Development (RFD) provides assistance in clarifying objectives, evaluating a research design or program structure, identifying sources and analyzing funding source priorities, interpreting guidelines, and reviewing proposal drafts. RFD’s web page at http://rfd.uoregon.edu/ has additional information on its services, links to governmental and private funding source information on the internet, and contact names and numbers. RFD also administers several internal granting programs for UO faculty, including:

**Summer Research Awards** Each year the University awards approximately 20 grants of $4,500 each in support of summer research for faculty whose proposals are selected by the Faculty Research Committee through competitive review. Applications are available from RFD in late spring and are due the end of November. First-year faculty who have received start-up funds from their colleges are not eligible to apply until the following year.

**New Faculty Award Program** These awards assist beginning faculty who do not have summer salary or start-up funds to establish their research activities. The award provides a summer stipend of $4,000 plus a flexible supplement of $1,000 for research expenses to eligible faculty following the first year of their appointment.

**Travel Assistance** Faculty receiving travel awards from external sources may receive a modest supplement to help defray actual travel costs. Assistance is also available for other research related travel. A letter detailing travel plans, the relationship of the trip to your current research, costs and cost-sharing by other UO or external sources, and a copy
of the award letter or invitation should be sent to RFD. If travel is to an invited conference, also include a discussion of your level of participation (invited paper, panel chair, etc.).

Proposal Development Funds These funds support modest costsharing or provide other assistance with research projects. There is no deadline; contact RFD for assistance.

B. OFFICE OF RESEARCH SERVICES AND ADMINISTRATION

The Office of Research Services and Administration (ORSA) assists faculty by communicating with agencies and foundations, developing budgets, providing applications and forms, administering NSF FastLane for electronic research administration and proposal submission, and clearing and submitting all proposals to external funding sources. ORSA's web page at http://orsa.uoregon.edu/ has additional information on UO policies for submitting proposals, an interactive on-line clearance form, links to application forms and budget spreadsheets, budget information and current rates, and contact names and numbers.

Faculty who wish to avail themselves of these services are encouraged to make an appointment with RFD or ORSA staff as early as possible in the proposal-writing process. Proposals for new program development, collaborative and interdisciplinary projects, basic research, fellowships and awards, and travel grants are eligible for this assistance. Early contact with RFD and ORSA can minimize possible delays later in the proposal submission process.

Before writing a proposal, principal investigators should be aware of all University policies that affect activities conducted on or with University facilities and resources, regardless of funding source.

Agencies provide general information on how to prepare unsolicited proposals, usually in a general proposal guide or application booklet, or on the web. They also publish specific requirements by programs, usually found in program announcements, RFPs, RFAs, or other notices. Some agencies, such as the National Science Foundation, publish a Guide for Proposal Writing (under the Directorate for Education and Human Resources), and there are many books and articles available on this topic.

Proposal writing includes attention to technical requirements. The text must be in a clear type face and conform to agency-imposed specifications on format (size of font, width of margins, number of pages, etc.). In addition, published agency guidelines, questions, or issues should be addressed and followed closely (e.g., relationship to previous work, plan of evaluation, etc.). These may be used as section headings or topic sentences.

Where no specific guidelines are available (e.g., for many foundations), it can be useful to think in terms of the information that the sponsor would need to have about the University, discipline, project, and principal investigator in order to make an informed
funding decision. This material should include basic facts about the size and nature of the University (see the appendices of this manual for an institutional profile) and its scholarly resources (libraries, laboratories, etc.), as well as information about the proposed project that places it within the theories and practices of its larger discipline.

The description of the proposed work (a work plan, statement of work, or project narrative) must be written in sufficient detail to allow reviewers to determine what the project hopes to accomplish, if project personnel have the necessary expertise to accomplish the goals and objects, if the budget is reasonable and the project cost effective, if a reasonable timeline is proposed, and whether evaluation and dissemination plans are adequate. The project description should include a plan of work and methodology as well as a discussion of the relationship of the proposed project to the scholar's immediate and long-range study or research objectives. Where appropriate, refer to preliminary work on the project, special language skills or experiences that suit the scholar to the project, and intended publication or other dissemination of the findings. In short, make it as easy as possible for a reviewer to defend your proposal at the meeting of a panel or foundation board.

When available, specific sponsor guidelines for content and format should be followed. However, the questions below can serve as a checklist in drafting the proposal text.

- Is the problem clearly defined and the need for support of the project justified?
- Are the objectives clear and measurable?
- Is the significance of the expected outcomes explained?
- Are the methodologies sufficient and appropriate for accomplishing the work?
- Is the proposed scope of work reasonable for the timetable presented?
- Are the qualifications of the project personnel adequate?
- Are the institutional resources adequate and available?
- Does the evaluation plan measure the accomplishments of the objectives?
- Are the post-award plans detailed, including dissemination of the findings?
- Does the budget reflect the proposed work and are costs reasonable?

Examples of recently successful proposals are invaluable aids in proposal writing; samples are available in RFD or through faculty colleagues. There are also a number of handbooks or guides, such as Mary Hall's *Getting Funded: A Complete Guide to Proposal Writing*, 3rd edition, and "A Guide for Proposal Writing," from the National Science Foundation, available at ORSA, RFD and in libraries and bookstores. Whatever resources one consults during the writing process, it is important to have feedback from others: an RFD or ORSA staff member, a colleague here or elsewhere, or someone who can identify statements that are unclear or that would benefit from revision.

C. FUNDING SOURCE INFORMATION
ORSA Web Page  ORSA maintains a WWW home page with information on services to faculty, UO policies on grants and contracts administration, current budget rates and categories, and links to other web-based resources (NSF FastLane, FEDIX, NIH Guide, etc.). ORSA’s web address is http://orsa.uoregon.edu/.

RFD Web Page  RFD maintains a web site at http://rfd.uoregon.edu/ which provides links to on-line funding information from both public and private sources.

Listservs  RFD distributes via email three weekly electronic listservs, one for arts and humanities, one for education and social sciences, and one for math and sciences, with upcoming funding opportunities and deadlines. ORSA distributes information in two main ways: email messages for Department Grant Administrators and a listserv “Grant-Admin-News” for PIs and department staff on issues such as agency policies and regulations, UO policies and procedures, financial and programmatic management, and training programs and workshops. You can register on-line for ORSA’s electronic notices at http://orsa.uoregon.edu/web/news/News_Mail_List_Subscriptions.html

Computerized database of sources  An on-line searchable database “GrantSelect” is subscribed to by the University and is located on the RFD website.

Funding information libraries  A funding information library, located in Chapman Hall and managed by RFD, houses a collection of grant, fellowship and proposal-writing information. ORSA in the Riverfront Research Park, Suite 106, has program guidelines and applications for most agencies, and can retrieve information from the web on request.

II. ELEMENTS OF A PROPOSAL

A. BASIC CONTENTS OF A NEW PROPOSAL

Most funding agencies specify in their published guidelines or application forms the preferred format for proposal preparation, which should be followed whenever possible. ORSA has guidelines and application forms for most federal and many other agency programs. Electronic versions of some forms for the National Science Foundation and Public Health Service are also available through ORSA. If proposal format instructions or forms are not provided by a funding agency, ORSA recommends that PIs follow the outline described in the following pages. Also available in ORSA are useful references on proposal writing, as well as samples of successful proposals.

There are basic elements, listed here and described in detail throughout this section, that are germane to most proposals:
UO Proposal Clearance Form (internal use only)
Title or cover page
Abstract or summary
Table of contents
Technical narrative
Budget and budget justification  
Current and pending support  
Project personnel  
Facilities description  
Appendices - vitae, reprints, letters of support, other

1. Cover Page - Format and Required Elements

Most private funding sources and a few federal agencies do not provide standard forms for the cover page. In this case, the following information should be provided to assist agency staff and proposal reviewers in identifying the application:

Title of project  
Request-for-Proposal (RFP) number, program number, or current grant number if a continuation application  
Sponsor name and address to whom application will be submitted  
Applicant's name and address (University of Oregon, Eugene, OR 97403-5219)  
Project start and end dates proposed  
Dollar amount requested  
Principal investigator's name and address; signature  
Submitting department/institute head's name and address; signature  
Authorizing institution official's name and address; signature  
Other required signatories (contracting officer, dean, financial administrator, etc.)

Most federal agencies and some private sources have posted their application guidelines and forms on the web. The standard format is PDF and PIs are encouraged to purchase the inexpensive Adobe Acrobat Exchange product that reads and converts files to PDF.

2. Abstract

The abstract should be a clear, concise statement of the major objectives and scope of the research, usually in 200 words or less. Descriptions of the problem to be studied, methodologies to be employed, anticipated results, and their significance should be included. The abstract serves several purposes: as an initial overview for the review panel members and for publicity and administrative or legislative presentations by agency staff. Therefore, it should be succinct and able to stand alone.

3. Table of Contents

The table of contents is a list of the headings and beginning page numbers of the major sections of the proposal. It should also include separate listings of tables and figures, if these are extensive throughout the body of the proposal, and make reference to appendices.

4. Technical Narrative
An introduction to the technical portion of the proposal, unless otherwise specified, should give a brief description of the proposed project, its background, and current state of the research. The importance and relationship of the area of research to the mission of the potential sponsor should be included. Some introductions are limited by the sponsor to specific information, such as the revisions made in the proposal since a prior, unfunded version was submitted; how the supplemental proposal could benefit the current, funded project; or a summary of results of prior supported work.

The main body of the proposal is the technical narrative. It is a detailed statement of the work to be undertaken and should include the following:

- specific aims of the study and long-term objectives;
- background and significance of the research and its relation to existing knowledge;
- findings of any preliminary studies;
- experimental design and methods;
- past and proposed collaborations related to the work;
- tentative sequence or timetable for completing the proposed work;
- involvement of human subjects, vertebrate animals, hazardous materials, genetically-engineered organisms, or other special conditions;
- plans for evaluation and dissemination; and
- any other considerations required by the sponsor or the research.

The technical narrative is followed by a relevant and current listing of complete literature citations (authors, title, book or journal, volume and page numbers, and year of publication).

5. Budget and Budget Justification

The budget should be designed on the basis of the technical narrative; that is, it should reflect, in fiscal terms, the proposed work and resources required to complete the work. The budget justification accompanying the budget figures should explain, by budget category, the calculations used in determining the total cost for each category, as well as any special or unusual circumstances. A budget that underestimates the cost of completing the proposed research is as detrimental to the success of the proposal as a budget that overestimates the cost. The National Institute of Health is implementing a Modular Grants initiative which requires budgets in $25,000 modules up to $250,000 direct costs annually. It is equally important to figure out a detailed budget for this type of proposal so the expected costs are known, since a funding cut of one module can have a significant impact on the project.

The proposal budget is the best estimate of project costs at the time of proposal submission. Current rates for salaries, services and supplies, equipment and maintenance, travel, and tuition should be used as a basis for developing the budget. Given that project periods normally begin 6 to 9 months after proposal submission, it is important to prepare a budget that will cover projected expenses, such as salary increases each January for academic appointments or fringe benefit rate increases each fall, by using current rates plus reasonable percentage increases. For example, a current 9-month
academic year salary, increased 5%, would be a fair estimate of a salary rate for a project beginning after January 1 of the following year. Fringe benefits and F&A rates are fixed for a given period and current rates must be used. These rates are provided in their respective subsections below. Budget figures should be rounded to whole dollars.

To adjust for inflation over the life of a multi-year project, it is recommended that a 5% increase for all direct cost budget categories be included in each successive budget period except for items requiring more or less than 5%. Some federal agencies limit continuation awards to a 4% increase over the previous year's funding level; however, any known increases for future years should be budgeted at the actual or estimated rate of increase regardless of an agency-imposed limitation.

Budget forms and detailed instructions for preparing this portion of the proposal are provided by some agencies. These should be carefully followed. Where no forms or instructions are provided, the main budget categories listed elsewhere in this manual should be considered during examination of the proposal narrative for possible project costs. ORSA staff can assist in designing the budget during the proposal development stage. Samples of budgets from funded proposals may also be reviewed in ORSA.

A complete description of budget categories and rates are found on the ORSA web site under BUDGET AND BUDGET JUSTIFICATION at http://orsa.uoregon.edu/web/proposals/budget/Proposals_budget.html. A QUICK REFERENCE CARD is also available and downloadable from the web site at http://orsa.uoregon.edu/web/proposals/budget/Proposals_Budget_quick_reference.html. The Quick Card is a handy summary of current rates for commonly-used budget items such as salary and wages, fringe benefits and facilities and administrative costs. As some rates change annually, check the web for the most current rates.

Other direct web links to University policies, rates and definitions for budgeting purposes include:

Equipment http://bao.www.uoregon.edu/propertycontrol.htm

Tuition and fees http://www.ous.edu/budget/fbk0405/

Travel and Per Diem Rates http://www.ous.edu/cont-div/fasom/sec11/sec1105.htm

Under the current Collective Bargaining Agreement between the University of Oregon and the Graduate Teaching Fellows Federation (GTFF), the UO hires graduate students as GTFs for teaching, research, and administrative appointments. The agreement states that, “Departments and programs will give priority to GTF appointments. Employing units will hire graduate student employees only when unique or unusual circumstances arise that cannot be accommodated by an increase in the FTE of current GTFs and/or the creation of new GTF appointments in the department or program.”
That means that grants will budget for GTF appointments over hourly wage jobs for graduate students, including during the summer term, except for unusual cases. Under the terms of the agreement, GTFs are appointed at a minimum of .20 FTE and a maximum of .49 FTE per quarter, unless an overload that exceeds .49 FTE is approved by the Dean of the Graduate School. The minimum appointment of .20 FTE equates to 88 hours of employment responsibilities per quarter, or approximately 8 hours per week, based on a full-time workload of 1312 hours for 9 months. If a graduate student is expected to work in excess of 8 hours per week, a GTF appointment is the appropriate mechanism for hiring the student.

Since GTFs at .20 FTE or above are exempt from payment of tuition (the instruction fee) for up to 16 credit hours taken in any term to which the appointment applies, budgets must include tuition for GTFs at the resident in-state rate. If a GTF is paid from a grant account, that account is charged for tuition. However, when both a grant account and a state account (including accounts for state general funds and F&A credits or ICC) are paying the GTF’s salary, and the state account is paying at least .20 FTE of that salary, the state account will be charged for all of the tuition. In the cases where the state account is paying for less than .20 FTE of the salary, the tuition charges will be prorated based on the percent of salary each account is paying. (Tuition charged to state accounts is eventually backed out to a central tuition account.) Tuition will not be charged during the summer term if the student is not required to enroll for credit to meet program or degree requirements.

Health insurance costs and part of the non-instructional fees are also covered under the GTFF agreement. For GTFs paid on grants, the appropriate insurance costs per term including summer, and a fee subsidy of $150.50 per term, will be charged to the grant. For more detail, see the ORSA web site under Proposals at http://orsa.uoregon.edu/web/proposals/proposals.html - Budget Preparation.

Grant budgets should indicate the number of hours per week or term the student will work for determining whether the appointment will be a GTF or on hourly wages, and the number of terms of appointment for which the grant will be charged tuition.

6. Current and Pending Support

Most federal agencies and some private sources require complete information on current and pending support from all sources for the principal investigator and other significant staff members on the proposed project. Information usually requested includes each individual's percentage of effort or person-months devoted to each project, title and brief description of the projects, award amounts, project periods, overlap of research activities, and program income expected, if any.

7. Project Personnel

Biographical information on all key personnel should be included in the proposal. Some funding agencies provide forms for this purpose and others allow for the attachment of
curriculum vitae at the end of the proposal. Generally, within the allowable space, the following should be included for each profile: post-secondary education, research training and professional experience; employment history; honors; professional memberships; and major (relevant) publications (often limited by number or to a specified time period). The names of the principal investigator's own graduate and postdoctoral advisors, as well as current and past collaborators, also may be required.

8. Facilities Description

This section may be an integral part of the proposal narrative or an appendix to the proposal, depending on the application guidelines. The facilities description may start with a broad overview of the institution (see Institutional Description in Appendix A), including its faculty and programs, number of students, library holdings, graduate programs and other pertinent information. At the least, the PI's department or institute/center should be described, in terms of personnel, laboratories, equipment, technical support and shared resources relevant to the proposed project. In proposals requesting equipment, care should be taken in explaining the need for the equipment that may duplicate or replace existing equipment. Similarly, facilities and field sites should be described for projects conducted wholly or partly off-campus.

9. Appendices

Application guidelines regarding allowable appendices should be carefully read. Some agencies limit, or disallow completely, appended materials. Items that may be allowable or required as appendices are vitae, reprints, supporting letters, and other supplementary materials pertinent to the proposed project. It is advisable to include all information essential to the review of the proposal within the narrative portion of the proposal, as appendices are not always sent to individual reviewers.

B. CONTINUATION PROPOSALS (NON-COMPETING)

Standard non-competing applications - Many agencies no longer require a standard application for non-competing continuation awards for the next budget period within a competitive project period. Most federal agencies and many private funding sources require only a progress report, financial report or both. Others need only an abbreviated application that may include a brief progress report and budget for the next period. However, to streamline review procedures and award timelines for continuation awards, most agencies including the USDEducation, NSF and NIH request all the budget years in the original application and rely on progress reports to make the next funding increment.

SNAP applications - The Streamlined Non-competing Application Process (SNAP) for eligible NIH continuation applications generally applies to all grants covered under expanded authorities and Federal Demonstration Partnership terms and conditions except for Program Project Grants (P01s) and Outstanding Investigator Grants (R35s). SNAP applications require an abbreviated proposal with only a signed face page, progress report summary with four questions answered, a
current personnel report, and checklist. A UO Proposal Clearance Form is required for "SNAP apps" for tracking and reporting purposes.

**Performance or Annual Progress Reports** - Agencies including USDEducation and NSF require annual progress reports in lieu of continuation applications. Generally, no budget is submitted with the progress reports. Annual technical reports may be submitted electronically or hard copy, depending on the agency, and do not go through ORSA for official clearance (although ORSA will provide the institutional signature when required on some progress reports). A UO Proposal Clearance Form is required for continuation applications if there are significant changes from the original proposal or a budget is submitted for the continuation period.

C. INSTITUTIONAL DATA FOR GRANT APPLICATIONS

1. **Contacts, Identification Numbers**

   **Legal applicant:**
   University of Oregon  
c/o Office of Research Services and Administration  
5219 University of Oregon  
Eugene, OR 97403-5219  
Tel. (541) 346-5131  
Fax (541) 346-5138  
Research_Services@orsa.uoregon.edu

   **Name of the authorizing institution official:**
   Gary L. Chaffins, Director, Office of Research Services and Administration  
5219 University of Oregon  
Eugene, OR 97403-5219  
Tel. (541) 346-5131  
Fax (541) 346-5138  
Gary_Chaffins@orsa.uoregon.edu

   **Name of the financial administrator:**
   Karen Findtner, Associate Director  
Office of Research Services and Administration  
5219 University of Oregon  
Eugene, OR 97403-5219  
Tel. (541) 346-5131  
Fax (541) 346-5138  
Karen_Findtner@orsa.uoregon.edu
Type of organization: Public, State institution, non-profit, educational

IRS identification number for the University: 48-1278531
(for DHHS entity number, use 1-48-1278531-A8)

National Science Foundation Institution Code: 0032235000

DUNS number: 94-811-7312

CAGE Code: 4B865

Assurance number for animal research: A-3009-01 (AAALAC accredited 5/17/94)

Assurance number for human subjects: M1143

Misconduct in Science Annual Report filed: yes

State House District: 41  State Senate District: 21

Congressional District: 4  County: Lane

Cognizant Audit Agency: DHHS (Department of Health and Human Services)

Facilities & Administrative Rate Agreement with DHHS: Dated 12/29/98

Organizational component for Biomedical Research Support Grant: "20 Other Academic" (box 11 of PHS 398 cover page)

2. Authorized Signators

ORSA provides signatures on proposals and certifications, as well as on all contracts and agreements for sponsored projects, on behalf of the University of Oregon.

3. Address for Receipt of Funds

For awards to the University, checks should be made payable to the University of Oregon and mailed to Cashiers, P.O. Box 3237, University of Oregon, Eugene, OR 97403-0327. Contact ORSA for assistance with electronic funds transfer.
III. PROPOSAL CLEARANCE AND SUBMISSION

A. ROLES AND RESPONSIBILITIES

1. Deans, Department Heads, and Directors

Deans, department heads and directors of institutes and centers are responsible for reviewing and endorsing proposals from the faculty, staff and students under their purview. This administrative endorsement, evidenced by signature on the UO Proposal Clearance Form, indicates that due consideration has been given to the project and it meets University requirements for:

- principal investigator eligibility and qualifications to direct the project;
- the substance and merit of the proposed activity including academic appropriateness and desirability;
- commitments of faculty and staff effort, and the possible effects of such commitments on the teaching and other obligations of the personnel involved (additional department heads or deans may need to review if PI and co-PIs are from different units);
- salary arrangements (rate, annual increases, overall FTE does not exceed 1.0 for all activities, summer support, partial or full academic year salary, course release);
- requirements for equipment, facilities, space, and administrative support;
- compliance with federal, state and University policies and regulations including human subjects, animals, DNA, hazardous materials, conflict of interest, lobbying, etc.;
- budget, costsharing and matching funds are approved and documented (signatures for amounts and sources);

2. Principal Investigator (PI)

The PI, by signing the proposal and UO Proposal Clearance Form, is responsible for:

- writing and certifying the accuracy and originality of a proposal;
- obtaining appropriate institutional reviews and approvals to submit;
- performing and monitoring work performed, including oversight on any subagreements;
- complying with University policies on misconduct in research, conflict of interest, drug-free workplace, lobbying, etc.;
- complying with grant terms and conditions, as well as agency rules and regulations governing the award and institution;
- complying with federal, state and University policies and regulations governing human subjects, animals, DNA, hazardous materials, and other regulatory areas;
- hiring and supervising project staff;
- ensuring staff do not exceed 1.0 FTE for all activities combined within the institution, certifying level of effort by personnel working on the project;
- fiscal monitoring and financial accountability, including monthly review and reconciliation of account activity;
preparing and submitting all required reports, including interim and final technical, financial, equipment and invention reports;

3. Office of Research Services and Administration (ORSA)

The Office of Research Services and Administration is authorized to review and sign proposals on behalf of the University. ORSA reviews a proposal to ensure the following:

- the proposal follows program guidelines, includes all required forms, and institutional information is correct;
- faculty member is eligible as a PI to submit a proposal;
- proposal has been reviewed and endorsed by required department and University administrative officials;
- personnel are or will become UO employees, at approvable salary rates and levels of FTE so as not to exceed 1.0 FTE for all institutional activities combined;
- budget has been approved and all revisions made based on preliminary review;
- facilities and administrative cost rate is at the appropriate federal rate or at another rate based on sponsor guidelines or University approval for a reduction or waiver of the rate;
- budget narrative matches budget and proposed activities;
- facilities and equipment are adequately and accurately described, major equipment is not redundant and already available within the institution and is fully justified;
- biographical sketches or curriculum vitae are complete, current and include all required elements;
- progress reports, inventions, and other elements are included;
- current and pending support statements of key personnel are inclusive of all grants and contracts whether paying salary or not, level of effort indicated matches actual activity;
- UO costshare or matching funds is documented, with amount and sources, and approved by signature or letter of authorizing official;
- letters of support, budget and signature of subrecipient institution included in proposal;
- third-party matching funds or costshare are documented by letters of commitment specifying type, amount and period available;
- certification of approval for use of human subjects, animals, radiation, hazardous materials, and compliance with federal regulations on federal debt status, debarment and suspension, lobbying, and drug-free workplace;
- upon receipt of an award, ORSA is responsible for reviewing, negotiating, and accepting the official award notice setting up a grant account in FIS; preparing subagreements and approving modifications to agreements; billing for, requesting and depositing the cash or check in payment of the award; preparing and submitting official interim and final financial reports to the funding agency; monitoring project progress and giving approvals for administrative actions such as pre-award expenditures, rebudgeting, no-cost extensions, etc; preparing and submitting all final close-out documents including patents and inventions, equipment, and other required reports; coordinating and managing the audit process and preparing appropriate responses to audit issues;
assisting PIs and DGAs with proposal preparation and submission and grant administration issues.

4. Department Grant Administrator (DGA)

The department or institute grant administrator for a PI or a group of PIs and their grants is responsible for:

- assisting the PI with daily account monitoring and monthly reconciliation;
- setting up “shadow” systems for programmatic and fiscal management, to record daily account charges and reconcile monthly with FIS account statement, track project-related tasks, monitor personnel or payroll changes, or manage any other project issues as needed;
- ordering, encumbering, and paying for all charges for personnel, supplies, travel, equipment, etc. that are in the approved grant budget;
- preparing documents for payroll and requisitions, either hard-copy or on-line as appropriate;
- serving as liaison between the PI, ORSA, or others on financial and administrative issues;
- notifying PI of problems or changes in policies and procedures;
- assisting PIs in preparing and submitting grant proposals.

B. AUTHORIZATION TO SUBMIT PROPOSALS

ALL proposals submitted to external sources on behalf of the institution are subject to the following policies on proposal clearance and submission, including those submitted by the Oregon University System or other member institutions of OUS that involve the UO:

University of Oregon is the legal applicant on all proposals submitted to external sources on behalf of the institution and its faculty, students and staff.

Office of Research Services and Administration (ORSA) provides the authorizing signature on behalf of the institution for official clearance of a proposal. The UO assumes administrative and fiduciary responsibility for the project and assures compliance with all policies and regulations pertaining to the award. The institutional approval to submit the proposal is given by ORSA staff delegated this authority upon their review and approval of the proposal and proposal clearance form. Review, negotiation and acceptance of an award is also under the authority of ORSA, in collaboration with the principal investigator (PI) and other administrative offices as needed.

Other institutional approvals required prior to submission of the proposal as indicated on the UO Proposal Clearance Form can include:

- department head or institute/center director for primary principal investigator (PI)
proposals submitted without UO clearance are not official UO proposals and can be withdrawn.

C. TYPES OF PROPOSALS REQUIRING OFFICIAL CLEARANCE

All of these proposal types must go through official institutional clearance and approval prior to submission to the funding agency. Call ORSA if there are questions whether an application requires official clearance:

- New and Renewal or Competing Continuations
- Non-competing Continuations
- Revisions to a pending proposal including revised budgets and work statements
- UO's portion of a proposal when the UO is a collaborator or subrecipient on a proposal submitted by another institution, including OUS
- Preliminary Proposals and Letters-of-Intent when any of the following apply:
  - an institutional signature is required by the sponsor, or
  - a detailed budget or University contributions are included, or
  - a full proposal will be based on the preliminary budget or other institutional contributions offered in the preliminary proposal or letter of intent, or
  - an award may be issued based on the preliminary proposal or letter of intent
- Interagency and Cooperative Agreements and Contracts with U.S. or foreign governmental agencies or private sources
- Research agreements of any type
- Proposals when the funds are to be administered by UO or UO Foundation
- Electronic proposals
- Individual awards (fellowships) that come to UO when PI wants benefits covered

D. PROPOSALS THAT MAY NOT REQUIRE OFFICIAL CLEARANCE

Certain types of proposals may not require institutional review and approval prior to submission, depending on the outcome of the proposal and administration of the award.

Proposals submitted by the individual do not require clearance when:
- the award is to be made directly to the individual, and
- funds will not be administered by the UO or the UO Foundation
Commonly called Individual applications, these proposals are often for a fellowship (such as the Fulbright Scholar Award, NEH Fellowships for University Teachers, or the Guggenheim Fellowship), travel award, a summer stipend, or a scholarship for faculty or students. Individual applications do not require institutional review and approval; however, a copy of the application should be sent to ORSA for recordkeeping and reporting.

If the PI receives an Individual award and requests benefits or additional salary from UO, the proposal must go through clearance and the PI must apply for salary/benefits through the Faculty Fellowship program. A description of the Faculty Fellowship program and approval form are found on ORSA's web site at http://orsa.uoregon.edu/web/awards/Awards_Institutional_Compensation.html. Once the proposal is cleared and the PI is approved for additional salary and benefits during the award period, the PI must forward the Individual award to UO for administration.

Letters-of-Intent or white papers do not require clearance when:
   an idea is presented for the potential sponsor's informal feedback
   no firm offer is made to do the work at the price indicated
   no detailed budget or University resources are committed at this stage
   institutional signature is not required by the sponsor

E. CLEARING ELECTRONIC ("E") PROPOSALS

NSF is currently the only federal agency requiring E-proposals. Be prepared--more agencies will go Electronic in the next few years!

ORSA submits E-proposals on behalf of the UO to NSF via FastLane

See ORSA’s homepage for details on preparing proposals in FastLane and for direct links to NSF FastLane

With the October 1998 deadlines, NSF now requires use of FastLane for some programs, as either full proposals or partial submission, and strongly encourages it for most programs. By October 2000, NSF will require all proposals to be submitted through FastLane.


Preliminary budget review and approval can be done by ORSA on-line

E-proposals must be cleared officially through ORSA prior to submission, with a proposal clearance form completed just as for hard copy proposals
Final proposal must be on-line for review by ORSA 24 hours before the application deadline.

UO Proposal Clearance Form must be in ORSA before the E-proposal will be submitted electronically by ORSA.

Due to unforeseeable technical difficulties with hardware performance, Internet access, and software compatibility, as well as ever-changing requirements by NSF, ORSA CANNOT ENSURE SUBMISSION BY THE REQUIRED DEADLINE TIME IF E-PROPOSALS ARE NOT COMPLETE AND READY FOR TRANSMISSION AT LEAST 24 HOURS PRIOR TO THE DEADLINE TIME.

F. PROPOSALS TO PRIVATE FOUNDATIONS AND CORPORATIONS

Special policies and procedures beyond the normal University proposal clearance process must be followed for submitting proposals to private funding sources including corporations and foundations. These policies apply to all requests for support, including research, projects, programs, and development activities.

Corporations and private foundations have varied expectations and guidelines for how they wish to be approached by an institution as complex as the UO. Many place restrictions on the number of proposals that an institution can submit at any one time. In order to avoid potential conflict, the UO has established, through the Office of Corporate and Foundation Relations (CFR), a centralized system for approving and tracking approaches to private foundations and corporations. The CFR office works closely with the offices of Research Services and Administration (ORSA) and Research and Faculty Development (RFD) to manage the system. The CFR office also serves as a liaison between the University and UO Foundation for submitting, managing and reporting on support from private funding sources. Following are special conditions for proposals to private sources.

Obtaining CFR approval for access to private sources is in addition and prior to obtaining institutional clearance of proposals by ORSA.

For competitive grants for research or program support, CFR does not need to give prior approval to approaches to the corporations or foundations listed in on our website (http://orsa.uoregon.edu/web/proposals/proposals.html). However, these applications do need institutional clearance through ORSA. When in doubt, consult CFR or ORSA. For sources that require a letter of intent before formal proposal submission, CFR approval is necessary before submitting a letter in order to avoid potential conflict with other proposals from the UO.

Facilities and Administrative (indirect) costs should be included in a budget to private sources at the University's current, federally-negotiated rates unless the funding agency has a written policy of paying F&A costs at a rate less than the University's
negotiated rate and applies this policy uniformly to all grantees of the agency. Applicants submitting a budget with a rate other than the negotiated rate must provide documentation of the agency’s policy (copy of program guidelines, policy statement or signed letter from agency) throughout the clearance process.

ORSA reviews and clears grant and contract proposals to all private sources, including private and corporate foundations, corporations and other non-governmental agencies which make awards to either the University or the UO Foundation. Gift proposals do not normally require official clearance, unless the gift proposal seeks matching funds for a grant.

Awards given by private sources may be received and administered by either the UO or the UO Foundation, depending on the sponsor’s guidelines. If not specified by the sponsor, the award will be administered by UO.

G. PROPOSALS WITH SUBAGREEMENTS

If the UO is the subrecipient on a proposal submitted by another institution (including State agencies, OUS, or other universities) who will issue a subagreement to the UO for its portion of the work:
- UO's portion of the proposal must be cleared prior to submission to the lead institution
- Agency forms, budget are signed by ORSA
- Federal F&A rate is used in UO budget
- UO Proposal Clearance Form is required

If the UO has a subrecipient on a UO proposal and UO will issue a subagreement to the other institution for their portion of the work:
- Approval from the subrecipient institution is required (signature on the cover page or a separate letter from the authorizing official)
- Subrecipient's budget and budget justification must be reviewed by ORSA and signed by Subrecipient's institutional authorizing official
- UO charges Federal F&A rate on the first $25K of each subagreement
- Some agencies require a letter in the proposal signed by both institutions
- Other information needed if not already provided in the application:
  - Subrecipient's Scope of Work
  - Letter stating their interests in participating
  - Necessary reps and cert. (can be addressed at time of award, if not required at time of application by agency)
  - Copy of F&A negotiation agreement (if F&A are requested)

Approval from the collaborating institution ensures that all parties are fully aware, and in approval, of the content of the study and the institution's commitment to the project; to affirm that the budgetary request is consistent with institutional policies and negotiated rates; and to facilitate negotiations between collaborating institutions.
and the funding agency. A letter signed by both institutions is required by some agencies (such as NIH) indicating understanding of and plans to enter into a collaborative agreement.

Collaborative proposals submitted as totally separate proposals that stand alone, where parallel awards would be made to both institutions, follow the normal proposal clearance process for UO proposals, and official, written approval from the collaborating institution prior to UO clearance is not required.

IV. NSF FASTLANE

The NSF FastLane system uses Internet/Web technology to facilitate the way the National Science Foundation does business with the research, education, and related communities. The NSF FastLane system is available for proposal preparation; submission and status checking; project reporting; and post-award administrative activities. All FastLane functions are accessed by using a web browser on the Internet. There is a link to FastLane on ORSA’s home page and on the NSF web site, or FastLane can be accessed directly at: https://www.fastlane.nsf.gov/. [also see Clearing Electronic "E" Proposals in Part 2, Section III above]

Access to proposal and post-award functions is limited to faculty and staff from FastLane-registered organizations and is secured through the use of a password system. Eligible individuals should contact ORSA for initial set up as a FastLane user and a temporary password.

NSF FastLane enables principal investigators (PIs), department grant administrators (DGAs) and the institution’s sponsored research office (ORSA) to:

- prepare and submit electronic proposals
- request supplements and submit revised budgets
- check status of pending proposals and continuation applications
- prepare and submit annual and final progress reports
- obtain awards information
- process administrative changes to current grants

As of October 2000, NSF requires use of FastLane for all proposal submissions and award administration. Electronic submission instructions and deadlines by program area are available on the FastLane homepage. Additional guidelines are in the NSF Grant Proposal Guide (GPG 04-23) dated September 2004, which is available on NSF's website http://www.nsf.gov/pubs/gpg/nsf04_23/.

Successful electronic submission is dependent on timing and technical factors. A number of PIs have experienced some technical difficulties with software incompatibility, special proposal needs, local hardware failures, slow internet traffic, or NSF server overload. Mindful of technical problems, PIs must realize that the electronic proposal needs to be
reviewed and cleared by deans, directors, or heads and by ORSA just as would a hard copy proposal. PIs are strongly urged to contact ORSA staff early on about plans for electronic submission and should plan to have the final proposal on-line, with a signed UO Proposal Clearance Form in ORSA, 24 hours before the application deadline.

Additional information about how to access and use the system can be found on ORSA’s web site under Proposals, UO Guideline for using FastLane, found at http://orsa.uoregon.edu/web/proposals/Fastlane/Proposals_FastLane.html.

V. PENDING PROPOSAL ACTIONS

1. Proposal Review and Status Checks

Most funding sources publish their timeline for proposal review and determination of awards. Proposals to federal agencies and some private funding sources are reviewed by a combination of panels, boards or review groups with additional review by program officers or administrative staff. Generally, applicants should not contact the funding agency for information on the proposal's status during the review process. An exception may be made when there is a significant development (e.g., research findings, changed circumstances, unavailability of the PI or other key personnel, etc.) that might materially affect the outcome of the review. For federal agencies, the program officer should be contacted by the PI to discuss the merit of any significant development and its impact on the review.

Once a proposal has been thoroughly reviewed and is awaiting a final funding decision, the PI may contact, or be contacted by, the program officer to discuss the technical or budgetary issues. PIs cannot negotiate F&A cost reductions and should refer all F&A issues to ORSA. Note that budget reductions of 10% or more from the original budget request generally warrant a corresponding reduction in the scope of the project, unless the program officer, PI and authorized institutional official in ORSA agree that it is feasible and desirable to retain the original scope of work. ORSA must be assured by the PI that the work can be carried out within a reduced budget with no expectation of any additional contribution by the institution (i.e., voluntary costshare). Both the PI and ORSA must sign the proposed reduced scope of work and budget, prior to submission to the funding agency.

The National Science Foundation has made available an on-line proposal status check through FastLane; however, it may not be up to the minute in reflecting the status throughout the review process.

2. Revisions to a Pending Proposal

As noted in 1. above, significant developments may warrant revisions to the proposal currently under review. Proposals submitted to NSF via FastLane may be revised for minor administrative or non-content-related errors within the 60-minute grace period
directly following FastLane submission. Contact ORSA immediately if a proposal needs correction as allowed in the NSF GPG, chapter III.

Occasionally, a PI may wish to make a more substantive revision to a proposal recently submitted (e.g., the same or previous day) and should contact the program officer by phone or email to discuss the possibility of this type of revision before processing it through ORSA.

3. Resubmission of a Declined Proposal

Applications that do not comply with proposal preparation and submission requirements, are incomplete, or are not responsive to the solicitation or announcement are usually returned to the applicant without review. The application must be substantially revised and resubmitted for the next available deadline. Some agencies require that revisions to a proposal be clearly marked where the changes appear, as well as be addressed in a summary statement to the reviewers' comments. In addition, some agencies limit the number of times a declined proposal can be revised and resubmitted (NIH allows up to two revised versions of the application for review in a future cycle but will not accept a revised application submitted more than 2 years from the receipt of the original application). Resubmissions are reviewed as new proposals, subject to the standard review procedures for new applications.

4. Withdrawal of a Pending Proposal

The PI may withdraw a proposal from review at any time before a final funding decision is made. Both the PI and ORSA must sign the written request for withdrawal. Withdrawal can be based on a number of circumstances, such as funding for the project has been received from another source or the PI or key personnel will leave the project. The University may withdraw a proposal from review at any time that it is in the best interest of the institution, such as when the proposal was originally submitted without official approval or when a conflict of interest cannot be resolved.
PART 3 - AWARD RECEIPT AND ADMINISTRATION

Under construction - sections will be posted as soon as they are developed:

I. AWARD NEGOTIATION AND RECEIPT

A. AWARD PROCESSING
   Types of Award Mechanisms
      Gift, Grant or Cooperative Agreement, Contract
   Award review and Acceptance
   Negotiations of Award
   Award Notice Dissemination
   Pre-award Site Visits
   Checks Received

B. ESTABLISHING AN ACCOUNT AND AUTHORIZATIONS
   Establishing an Account
      Account Set-up in FIS
      Interest-bearing accounts
   Authorizations and Responsibilities
      Authorizing Signatures to Obligate Funds
      Fiscal Responsibilities on Grants and Contracts

II. AWARD ADMINISTRATION

A. GRANT TERMS AND CONDITIONS
   NIH
   NSF

B. COST AND EXPENDITURE POLICIES
   Cost Policy
   Costshare reporting and documentation
   Cost and Pricing Data
   Institutional Allowances and Cost-Of-Education Funds
   Appointments of Personnel on Grants
   PI Leaves and Absences
   Removing Overdrafts
   REU Awards on NSF Grants

C. ACTIVITY REPORTING

D. CONTRACTS
   Negotiating Agreements
   Sample Contracts
Review and Approval
Cost Reimbursement
Fixed Price
State-required Clauses
Review by Oregon DOJ

E. SUBAGREEMENTS
Approval by Agency
Authorizing signatures
Review by ODOJ
Certifications, Audit Reports, IC Agreements
Monitoring
Invoicing and Progress Reports
Continuations
Closeout, Audit

F. EXPANDED AUTHORITIES AND PRIOR APPROVALS
No-Cost Extensions
Rebudgeting or other cost-related issues
Change in Scope, Program or Method, or PI
Change in IC Rate
Carry-forward of Unobligated Balances
Transfer Grants to/from UO

G. PURCHASING
Procurement Integrity Certification
Competitive vs. Sole Source
Equipment

Property Management

III. CLOSEOUT AND AUDIT

A. CLOSEOUT
Technical and Financial Reporting
Account Reconciliation and Final Financial Reporting
Final Technical Reporting
Inventions/Patent Report
Equipment Acquisition and Disposition Report

B. AUDIT
Records Retention
External Audit
Disallowances
APPENDICES

A. INSTITUTIONAL DESCRIPTION

THE UNIVERSITY OF OREGON

The University of Oregon is a comprehensive research university whose instructional, research and public service programs advance scientific and humanistic knowledge while serving the educational, cultural and economic needs of Oregon and the Pacific Northwest. Since its beginning in 1876, the University has been committed to intellectual freedom and advancement of knowledge through excellence in scholarship, research and teaching.

The University is the only institution in Oregon to be elected to membership in the select Association of American Universities (1969). The University has full accreditation from the Northwest Association of Schools and Colleges and the Western Interstate Commission for Higher Education; specific UO programs are accredited by numerous other professional and scholarly associations and boards. As the state's largest research library, the Knight Library houses 2 million volumes within the main library and its five branch libraries. It is the only Oregon member of the Association of Research Libraries and recently underwent a $27 million expansion and renovation.

With over 40 departments and programs, the College of Arts and Sciences offers undergraduate and graduate degrees in mathematical and computer sciences, the physical and biological sciences, the arts and humanities, and the social sciences. The University's six professional schools and colleges--Law, Business Administration, Architecture and Allied Arts, Education, Music, and Journalism and Communication--complement and build upon the core of the arts and sciences for approximately 13,500 undergraduate and 3,600 graduate students. The UO is the only institution in the state offering doctoral degrees in the arts and humanities, most social sciences, and business administration.

The instructional faculty, numbering approximately 760 full-time and 430 part-time members, are committed to providing high-quality undergraduate and graduate training and instruction, while maintaining their position at the forefront of research and scholarship. The faculty work with more than 1,200 graduate teaching and research assistants in the classroom and on research projects. The many prestigious honors and awards bestowed on the faculty attest to its level of excellence: (as of Fall 1999) nine members of the National Academy of Sciences and eight members of the American Academy of Arts and Sciences; 22 Young Investigator/Career awards, and two Faculty Awards for Women Scientists and Engineers from the National Science Foundation; 42 fellowships from the National Endowment for the Humanities; over 200 Fulbright
Scholar awards; almost 60 Guggenheim fellowships; 25 von Humbolt fellowships; 30 Alfred P. Sloan fellowships; two Howard Hughes Medical Institute investigatorships; two American Cancer Society professorships; three "Genius" awards from the John T. and Catherine MacArthur Foundation; and many more. Two graduates of the University have been awarded Nobel Prizes. Seven Oregon governors have attended the UO and many alumni hold prominent positions in government and business.

Interdisciplinary and collaborative research is a hallmark at the University of Oregon. Currently there are 15 interdisciplinary research institutes and centers, many with national and international reputations, and over 30 other research-focused bureaus, programs and shared facilities. Extramural support in the form of gifts, grants and contracts for research-related activities totaled more than $55 million in fiscal year 1998-99.

**OPTION:** If appropriate, include overview of science complex, museums, computer services, or other general areas and services on campus. Contact ORSA for assistance with descriptions.

**FOCUS:** Proceed with description of institute, center, program, shared facility, internationalism, or other aspect of particular interest to proposed project.