



GUIDELINES FOR
FACULTY GRANT PROPOSALS AND CONTRACTS

Including
OUTREACH CENTERS AND CONTINUING
EDUCATION CONTRACTS

OFFICE OF ACADEMIC AFFAIRS

ROBERT MORRIS UNIVERSITY

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1. Faculty Research, Scholarly and Creative Activity Support

Faculty engaged in the development of new knowledge make important contributions to our community. The University is committed to the full support of faculty engaged in research, scholarly and creative activity. The Office of Academic Affairs and Business Affairs both provide support to faculty engaged in research, scholarly and creative activity including assistance in seeking internal and external funding. Such support includes information, assistance with proposal development, and other help that may be needed by the faculty.

The Office of Academic Affairs has administrative responsibility for relationships between sponsoring/ funding agencies and Robert Morris University. The Office of Academic Affairs promotes the educational objectives of Robert Morris University by encouraging, facilitating and fostering research in the School of Business, School of Communications and Information Systems, School of Education and Social Sciences, School of Engineering, Mathematics and Science, School of Nursing and Health Sciences, Library and all other University programs. The Office of Academic Affairs and Business Affairs provide pre-award and post-award services:

Pre-Award Services: Pre-Award services include:

- Forwarding of announcements about Requests for Proposals (RFP)
- Guidance for proposal preparation in accordance with RFP guidelines
- Guidance for budget assistance
- Guidance for proposal submission to sponsoring/funding agencies
- Communication and negotiation with sponsoring/funding agencies when appropriate
- Maintaining a faculty expertise database
- Maintaining a website for faculty research and scholarly activities
- Offering proposal development workshops

Post-Award Services: Post-Award Services include:

- Service as the liaison between the sponsoring/ funding agency and individual principal investigator(s)
- Project budget reports
- Guidance for project related progress reports and final reports
- Maintenance of a project database that includes project number, granting agency contact information, project milestones and deadlines
- Other project related services as may be requested by sponsoring/funding agencies or faculty

In addition, Business Affairs provides the following services:

- Fiscal administration of projects
- Establishment of accounts for financial transactions
- Purchasing, personnel and payroll
- Preparation of financial reports to sponsoring agencies

2. The Grant Proposal Process

The funding proposal process is intended to be a collegial endeavor with full University support. Early and frequent informal communication among prospective principal investigators, academic administrators and the Office of Academic Affairs and Business Affairs can help enrich the proposal development process, enhance the opportunity for success and will help ease some of the principal investigator's administrative burdens during the research. In addition, some research may require Institutional Review Board approval prior to the submission of requests for funding. The Office of Academic Affairs can help principal investigators with the IRB review process.

2.1. The Formal Proposal Development Process

The formal part of the University's internal process begins with submission of the draft proposal project budget and the research proposal process form to the Department Head and the Dean for review and approvals.¹ The documentation needed for this part of the process includes:

- a copy of the request for proposal (including any guidelines that the proposal must follow, budget limitations, submission format and deadlines)
- the draft proposal
- a draft budget using the university budget preparation form (available electronically and on website)
- the grant proposal process form

Account descriptions are provided in Appendix B to guide with the budget preparation. Once approved by the Department Head and the Dean, all of the above documentation will be forwarded to the Office of Academic Affairs for review. The Office of Academic Affairs will forward the documentation to Business Affairs for review prior to final approvals. Business Affairs will review the proposed budget for:

- Consistency of the proposed budget with the RFP
- Reasonableness of assumptions
- Correctness (the math works)
- Consistency with the University's internal policies (salaries and wages, fringe benefits, indirect cost rates)
- Any University contributions (cash or in kind) have been approved by the appropriate people
- Whether we can provide the financial information the granting agency wants, both in the application and in interim and financial reports

In order to provide adequate time for a quality review, and to facilitate comments and revisions, the proposal documentation needs to be submitted to the Office of Academic

¹ From time to time funding agencies require the submission of pre-proposals in order to screen projects for invitation to submit a full proposal. Pre-proposals shall be subject to all of the procedural and budget requirements set forth in these guidelines.

Affairs at least **three weeks** before the submission deadline when the review will take place during the fall or spring semesters. In order to accommodate holiday and vacation work schedules, proposal documentation needs to be provided **four weeks** before the submission deadline when the review is take to place over holidays or the summer. Expedited review will be accommodated for grants under \$5,000.

During the fall and spring semesters, Academic Affairs and Business Affairs will provide an initial review of the proposal and budget within **a week** of the initial submission. If the review occurs over the summer or during extended holidays, Academic Affairs and Business Affairs will provide an initial review within **two weeks** of the initial submission. Business Affairs will forward comments regarding the proposed budget to the principal investigator and to the Vice Provost for Research and Graduate Study.

The principal investigator will be responsible for making final changes to the proposal and the budget, for obtaining necessary final approvals from the Department Head, the Dean, the Vice Provost for Research and Graduate Study and the Financial Operations (evidenced by signatures on the Research Proposal Process Form) for submission at least **one week** before the deadline. Upon final approvals, the proposal will be submitted to the sponsoring/funding agency by an RMU designee.

In the case of award, Academic Affairs will forward copies of the award letter and any project related documents from the funding agency to the principal investigator(s), the Department Head, the Dean and Business Affairs. An initial project meeting will be arranged with the principal investigator, Vice Provost and the Business Affairs. During the initial project meeting, participants will establish a project schedule that meets the sponsoring/funding agency's conditions for progress reports, financial reports and audits.

2.2. Process Summary

The following describes the process for grant proposal development and submission:

1. The prospective principal (PI) investigator informs the Department Head, the Dean and the Office of Academic Affairs of plans. The Office of Academic Affairs offers guidance for proposal preparation including the project budget and guidance for any required Institutional Review Board (IRB) process
2. The PI prepares and submits the following documentation to the Department Head and the Dean for review and approvals:
 - Grant Proposal Process Form
 - Request for Proposal
 - Grant Proposal
 - Grant Proposal Budget
3. The documentation is then forwarded to the Office of Academic Affairs for review and approvals

4. The Office of Academic Affairs forwards documentation to Business Affairs for review of the proposed budget and to assess the University's ability to comply with funding agency requirements. At least *three weeks* is needed before the submission deadline for quality review and feedback. Expedited review will be accommodated for grants under \$5,000.
5. If the “Grant Proposal” is not exempt from “Human Subject Review”, the sponsoring/funding agency requires the proposed research to be approved by the “Institutional Review Board” prior to start of the project
6. The documentation must be approved and signed by the following individuals in the following order:
 - Department Head
 - Dean
 - Vice Provost for Research and Graduate Study
 - Business Affairs
7. The RMU designee submits the proposal to the funding agency on behalf of the University
8. A copy of the final documentation will be provided to the PI, the Department Head and the Dean
9. If the proposal is funded, the Office of Academic Affairs will distribute a copy of the award notification letter to the principal investigator(s), the Department Heads, the Deans, and Business Affairs
10. The Office of Academic Affairs convenes the initial project meeting with the PI and Business Affairs
11. Business Affairs creates accounts, tracks grant expenditures, indirect costs and salary release reimbursement allocations, and reports quarterly to PI on budget expenditures
12. The PI prepares draft of progress reports and final reports and forwards them to the RMU designee for submission to the sponsoring/funding agency
13. Business Affairs prepares financial reports and forwards them to the Vice Provost, the Department Head and the Dean

3. Proposal Budgets

The proposal budget is a crucial part of the funding process. Decisions made during the development of the budget have important implications for the proposed activity. The University has adopted a number of guidelines that will be helpful in the budgeting process.

This section provides information and guidance for preparing research proposal budgets including salaries and wages, fringe benefit rates, indirect cost rates, and matching funds/cost sharing.

3.1. Salaries and Wages

In general, faculty and faculty administrators (collectively, “faculty members”) engaged in funded research cannot receive compensation in excess of their contracted salary rates. In addition, the University will not seek salary reimbursement for an amount exceeding actual faculty salary payments. This principle also applies to summer salary: faculty members' (and administrators') compensation received during the summer through grant funded research may not exceed the monthly compensation they receive during the academic year. For purposes of this section, salary includes both teaching salary and stipends for administrative work.

Faculty and faculty administrators may receive additional compensation for (and sponsoring/funding agencies may be asked to reimburse) funded research and scholarly activity that will be carried out in addition to and at times that would not normally be part of the administrators' workload or work days (e.g., evenings, weekends, holidays or vacation days). The compensation for this activity will be fixed on a case-by-case basis and will be subject to approval by the Provost and Senior Vice President for Academic Affairs.

For purposes of determining funding, there are three different categories of individuals: Faculty and Faculty Administrators, Undergraduate and Graduate Research Assistants, and Other Professionals. Salary and wage reimbursement for each is described in the following subsections.

3.1.1. Faculty Members' Salary

There are three types of faculty and faculty administrators (called faculty members in this section) with different performance periods based on the performance times specified in their contracts:

1. Faculty members who are on nine-month contracts: These faculty members do not have any special administrative assignments. The academic year performance period for these faculty members is September 1st through May 31st. The summer performance period for these faculty members is June 1st through August 31st
2. Faculty Administrators who are on nine-month contracts but have special administrative assignments: Their performance period is also September 1st through May 31st. The summer performance period for these faculty members is June 1st through August 31st
3. Faculty Administrators who are on twelve-month contracts: The performance period for them is June 1st – May 31st

The following steps should be used to compute funding agency reimbursement for release time for each faculty member who will provide grant funded services – for each performance period during the research or scholarly activity:

1. Determine whether the faculty member's contract is 9 or 12 months
2. Calculate the faculty member's monthly salary based on the faculty member's contract period. Define this as the "monthly salary" amount, "**S**"
3. Determine the number of months in the performance period. Define this as "**M**". For faculty administrators on a 12 month contract who will be providing services for the full year M=12. For faculty members on nine month contracts who will be providing services during the entire academic year M=9. For nine month contract faculty members who provide services during the fall semester only or during the spring semester only M=4.5. For faculty members on nine month contracts who provide services during the entire summer M=3
4. For each project time period, determine the proportion of the faculty member's time that will be involved in the funded research or scholarship. Define this proportion as P
5. Compute the amount "**A**" of grant funded reimbursement for faculty member's salary for each project time period by multiplying the monthly base salary "**S**" by the number of months in the project period "**M**" by the proportion of the faculty member's time "**P**". Thus:

$$A = S * M * P \text{ -- for each project time period.}$$

6. The total salary release reimbursement for a particular faculty member during a research project or scholarly activity will be the sum of specific amounts for the faculty member for all the time periods included in the research project²

Requests for salary and administrative stipend reimbursement for multi-year research and scholarly activity will include an estimate for annual salary and administrative stipend increases using an annual increase percentage of **4.0%** according to the RMU Faculty Contract.

The percentage of the faculty member's total time that is devoted to research or scholarly activity during each project time period is used to establish both workload (usually course

² For example, consider a faculty member who has a nine month contract (N=9) for \$54,000 per year (B=\$54,000) who provides 50% effort to the funded research project during the academic year and 100% effort for three months in the following summer. The faculty member would receive workload reduction for two courses each semester to perform the research and would conduct the research full time during the summer. The monthly base salary (S) for the faculty member would be \$6000 (S = \$54,000/9). There would be two project time periods, the academic year where M=9 and the summer where M=3. The proportion of effort (P) during the academic year would be 0.5 and during the summer would be 1.0. The salary release reimbursement requested for the academic year (A) would be S*M*P = \$6000*9*0.5 or \$27,000 and the amount requested for the summer would be S*M*P = \$6,000*3*1.0=\$18,000. The total amount of grant funded reimbursement for this faculty member would be \$27,000 + \$18,000 = \$45,000.

teaching) reductions and to define the amount of reimbursement that will be sought from sponsoring/funding agencies. The “Percent Effort in Project Period” (**P**) that falls into the academic year on a grant is referred to as the “Faculty Release Time Reimbursement (**FRRT**)”. The FRRT is used in determination of course reduction based on the following guidelines:

- At least 25.0% Effort in Academic Semester but less than 50% = One course reduction
- At least 50.0% Effort in Academic Semester but less than 75% = Two course reduction
- At least 75.0% Effort in Academic Semester but less than 100% = Three course reduction

Under normal circumstances, the total number of course reductions for nine-month contract faculty members, including grant funded course reductions and course reductions granted for other reasons, should not exceed three course reductions per academic semester.

For twelve-month contract faculty administrators, the total of course reductions granted should not exceed four courses per year. Special exceptions may be made if approved by the individual’s Department Head, Dean and the Provost and Senior Vice President for Academic Affairs.

The “**P**” during summer months is used to determine direct faculty compensation for summer work for nine-month contract faculty. The “**P**” can be as much as 100% during the summer months so that the proportion of effort, P, can be as high as ‘1’. Accordingly, nine-month faculty and administrators can earn up to one third of their salary during summer months.

The proportion of administrative (not course reduction) time that may be spent in participation in funded research or scholarly activity by twelve-month contract faculty administrators’ will be determined on a case by case basis with approval of the Provost and Senior Vice President for Academic Affairs.

3.1.2. Undergraduate and Graduate Research Assistants

Undergraduate and Graduate Research Assistants are students enrolled in programs at Robert Morris University. For purposes of research and scholarly activity, funding the wages of Undergraduate and Graduate Research Assistants are calculated based on a nine-month "performance period."

The level of any student's effort for grants and other internal employment commitments (e.g. work study) should not exceed 20 hours per week during the fall and spring semesters. During the summer, students' grant research work and other University work commitments may be as much as 40 hours per week if they are not otherwise enrolled in classes -- up to 20 hours per week if they are so enrolled.

Amounts charged for Graduate Research Assistants who are working 20 hours per week are computed as follows:

Fall or Spring Semester:

$$(\text{GTR} * 9 \text{ credits}) + \$2,250$$

Summer Semester:

$$(\text{GTR} * 6 \text{ credits}) + \$1,500$$

Where GTR is the Graduate Tuition Rate per credit and the room and board amount is \$2,250 representing \$500 per month for 4.5 months during the fall and spring semesters and \$1,500 for 3 months during the summer semester.

When a Graduate Research Assistant works less than 20 hours per week (on average) during a semester, the amounts charged shall be pro-rated based on the proportion of 20 hours that the Graduate Research Assistant works.

The amount for Undergraduate Research Assistants is to be computed based on the hourly rates paid to Undergraduate Research Assistants. The rates vary based on University classifications. During budget preparation, the principal investigator should contact the Career Center to determine applicable rates and should include these rates in the budget for Undergraduate Research Assistant salaries.

3.1.3. Other Professionals' Compensation

Any professional included in the proposed research or scholarly activity who is not a full time faculty member or student, whether or not an employee of the university, will be included in the category of "other professional." Examples include laboratory technicians, assessment experts, and clerical staff, part time faculty and faculty and students from other universities whose services will be provided under contract. Salary and wages for these individuals will vary with terms of their contract for services with the University.

In the case of other professionals who are University employees, the project budget should include a documented estimate of the employee's compensation that will be attributable to time spent on the research or scholarly activity. Generally, any such research or scholarly activity should be considered to be part of the employee's duties and should not result in additional compensation for the employee. The employee be compensated if the research or scholarly activity requires the performance of services to be outside of the employee's regular workload. Such cases must be approved, on a case by case basis, by the Senior Vice President for Academic Affairs in consultation with the employee's supervisor and other appropriate University administrators.

3.2. Fringe Benefits

All requests for external funding for research or other scholarly activity that seek reimbursement for salary shall also include a request for reimbursement for fringe benefit payments connected with those salary payments. For purposes of developing the project budget these fringe benefits will be computed as a percentage of the salary reimbursement described above using the following rates:

Faculty or Faculty Administrator Academic Year Salary (nine-month contract):	30%
Faculty or Administrator Summer Salary (nine-month contract):	8%
Faculty Administrator (twelve-month contract):	30%
UG/G Research Assistant (academic year):	0%
UG/G Research Assistant (summer):	8%
Part-Time Faculty:	8%
Other professionals – full time University employees	30%
Other professionals – part time University employees	8%
Other professionals – not University employees	per contract

FICA, 7.65% will be budgeted if the faculty compensation is involved instead of salary reimbursement.

3.3. Indirect Costs

Indirect costs are those costs associated with maintaining the infrastructure of the University that support research activities, public services, and instructional functions. Indirect costs are built into a research proposal budget to cover these costs. To the extent that sponsoring and funding agencies are willing to reimburse indirect costs, the project budget should include them.

The University has an indirect cost agreement that has been negotiated with the US Department of Health and Human Services. The rates listed below are valid through May 31, 2013, and will be negotiated again no later than November 30, 2012.

The Indirect cost rates are applied to “Direct Total Salaries and Wages” including all fringe benefits. This sum includes the following budget items:

- a) Faculty Direct Payments
- b) Faculty Release Time Reimbursement
- c) Other Professionals’ Salaries and Wages
- d) Undergraduate/Graduate Students payments

The negotiated indirect cost rates are:

- a) On-Campus rate: 36% of Total Salaries, Wages and Fringe Benefits
- b) Off-Campus rate: 18% of Total Salaries, Wages and Fringe Benefits

The “On-Campus Rate” is used when all activities are performed in facilities owned by Robert Morris University. The “Off-Campus Rate” is used when all activities are performed in facilities and not owned by Robert Morris University and to which rent is directly allocated to the project(s). If more than 50% of a project is performed off-campus, the off-campus rate will apply to the entire project. The “Training Rate” is used for any grant proposal involving training of internal or external individuals, including workshops, seminars, and short courses.

3.4. Distribution of Faculty Release Time Reimbursement and Indirect Cost

Faculty Release Time Reimbursement shall be allocated 50% to the School’s operating budget in which the investigators are appointed³ and 50% will be allocated to Academic Affairs.

Indirect costs shall be allocated 40% to the Dean’s Fund of the School in which the investigators are appointed,⁴ 20% to Business Affairs and 40% to Academic Affairs.

3.5. Matching Funds/Cost Sharing/ Reporting Costs

Some funding or sponsoring agencies may require matching funds from the University or cost sharing at different levels in support of the proposed project. These may vary from in-kind matching to capital contributions. In some cases, matching funds may be restricted to external partnerships. Any commitments for matching funds or cost sharing on behalf of Robert Morris University must be approved by the Department Head, Dean, and the Provost and Senior Vice President for Academic Affairs and prior to budget preparation and the proposal submission.

In-kind matching funds or cost sharing might include facilities, equipment, professional employee time, research assistant and faculty time. All cost sharing items must be shown on the research budget, including internal and external commitments.

In addition, some funding or sponsoring agencies may require reports or audits prepared by professionals external to the University. In such case, where possible, the project budget should reflect these costs. If the funding or sponsoring agency does not provide funding for the reports or audits, the commitment to provide the reports or audits must be discussed with the Provost and Senior Vice President for Academic Affairs and Financial Operations prior to submission of the grant application.

4. Research Involving Human Subjects

³ In the case of multiple investigators from different schools this amount shall be distributed in proportion to the work levels of the researchers as specified in the grant application.

⁴ In the case of multiple investigators from different schools this amount shall be distributed in proportion to the work levels of the researchers as specified in the grant application.

4.1. Research Involving Human Subjects

The federal Department of Health and Human Services, Office for Human Research Protections, has established "Code of Federal Regulations (C.F.R.)" relating to federal funding for research involving human subjects which "applies to all research involving human subjects conducted, supported or otherwise subject to regulation by any federal department or agency which takes appropriate administrative action to make the policy applicable to such research." State and private funding agencies may follow federal guidelines when considering human subject research or, they may have adopted their own guidelines. 45 C.F.R. § 46.

Accordingly, principal investigators who are preparing proposals for funding of research that involves human subjects must investigate whether the sponsor/funding agency will require compliance with policy regarding human subject research.

4.2. Exempt Research

A substantial amount of research is exempt from federal policy involving protection of human subjects. Exempt research includes normal educational practices, educational tests, studies using existing data, certain public demonstration projects and certain studies involving taste, for equality and consumer acceptance. 45 C.F.R. § 46.

The specific details of these exemptions can be found in the federal regulations. The regulations are available at:

<http://www.hhs.gov/ohrp/humansubjects/guidance/45cfr46.html>.

4.3. Research Covered by Human Subject Protection

If the proposed research is covered by federal, state or private funding agency policy relating to the human subject protection, it is the responsibility of the principal investigator (with the assistance of the Office of Academic Affairs) to meet the standards required by the funding agency. Most often this will require an Institutional Review Board approval of the proposed research prior to submission for funding.

Robert Morris University maintains a registered Institutional Review Board and has filed appropriate assurances with the Office for Human Research Protections. The Robert Morris Institutional Review Board meets periodically to consider proposed nonexempt research. The principal investigator should take the Institutional Review Board's meeting schedule and time frames for making decisions into account when planning a research funding submission that requires its approval.

The Robert Morris University Institutional Review Board policies, procedures and forms are located at:

<http://sentry.rmu.edu/web/cms/departments-offices/research-outreach/irb/Pages/default.aspx>

Specifically, the Institutional Review Board requires submission of proposals for full board review at least *two weeks* prior to the Institutional Review Board's meeting at which the proposal will be considered.

4.4. Expedited Review

Certain “research” activities that present no more than minimal risk to human subjects, and involve only procedures listed in [federally approved] categories, may be reviewed by the IRB through the expedited review procedure authorized by 45 CFR 45 § 46.

These categories include:

- certain drug studies, some collection of blood samples,
- collection of biological specimens,
- some collections of data through noninvasive procedures (not involving general anesthesia or sedation) routinely employed in clinical practice (with exceptions),
- non- exempt research involving materials (data, documents, records, or specimens) that have been collected, or will be collected solely for non-research purposes (such as medical treatment or diagnosis),
- collection of data from voice, video, digital, or image recordings made for research purposes,
- research on individual or group characteristics or behavior or research employing survey, interview, oral history, focus group, program evaluation, human factors evaluation, or quality assurance methodologies
- continuing review of some research previously approved by the IRB

The Robert Morris University Institutional Review Board has an application for expedited review (labeled "Exempt Review Application") and has adopted procedures relating to expedited review. They can be found at:

<http://sentry.rmu.edu/web/cms/departments-offices/research-outreach/irb/Pages/default.aspx>

4.5. Informed Consent

In general, participants in research studies subject to standards promulgated by the Office for Human Research Protections (parents for children under the age of 18) or otherwise subject to Institutional Review Board jurisdiction must provide informed consent for their participation.

Robert Morris University has promulgated guidelines for informed consent which may be found at:

<http://sentry.rmu.edu/web/cms/departments-offices/research-outreach/irb/Pages/default.aspx>

5. Intellectual Property

Investigators need to consider the expectations of the sponsor related to intellectual property. Some sponsors seek control over publications and documentations, or require ownership of all intellectual property resulting from the research. Therefore, the investigators must be aware of the expectations of the sponsoring agency prior to engaging in the proposal and/or the project.

The University's collective-bargaining agreement with the faculty contains provisions relating to intellectual property. See Article XVI - Copyrights and Patents.

6. In-Kind Gifts and Transfers of Property

Robert Morris University has an administrative policy relating to in-kind gifts from external sources. In-kind gifts are non-monetary gifts that are offered to the University by external agencies.

These gifts cannot be accepted by University personnel until the procedures contained in the policy are followed. These procedures are meant to protect the University from accepting in-kind gifts that have no value to the University or require special storage and/or maintenance cost.

When a potential donor contacts any member of RMU staff, wishing to make an in-kind gift to the University the staff member is required to:

- Review the gift to determine if there exists a University or department need for the item.
- Contact the Senior Vice President for Institutional Advancement for an “In-Kind Gift Documentation” form.
- Complete the form and have it signed by the Department Head, the Dean and the Provost and Senior Vice President for Academic Affairs.
- Return the completed form to the Institutional Advancement Office.

The Senior Vice President for Institutional Advancement will review the in-kind gift documentation and, if necessary, discuss the proposed gift with the appropriate individuals. The in-kind gift may or may not be accepted. The Department Head, the Dean and the Provost and Senior Vice President for Academic Affairs will be notified of the University’s decision, and if accepted, a gift receipt will be provided to the donor. If accepted, a copy of the “In-Kind Gift Documentation” form will be provided to the Accounting and Financial Services Department and the gift will be recorded as an asset of the University.

7. Contract Research, Training and Continuing Education

The research and outreach centers at Robert Morris University are established to provide a bridge between the community and the University. The following centers represent various ways that Robert Morris University connects with the region.

- Bayer Center for Nonprofit Management
- Center of Economics Education (SBUS)
- Center for Documentary Production and Study (SCIS)
- Research and Outreach Center (SEMS)
- Research and Innovation in Simulation Education Center (SNAH)

The faculty and staff of the University may be involved in various activities through the Centers including contracted projects, teaching in training workshops and seminars, and continuing education courses (credit and noncredit). Such activities usually are short term (one week, several weeks or several months) and begin and end at any time of the calendar year, although they can extend for longer times.

It is also possible that faculty and staff of the University can be involved in contract research through their departments and schools. Such contract research may extend over a longer time than training and continuing education.

The draft terms of contracts for research, training and continuing education may be negotiated by the faculty member who will be the principal investigator for the project. However, all contracts must be approved by the faculty member's Department Head and school Dean and may only be executed by the Office of Academic Affairs and/or Financial Operations – in accordance with the University's policies regarding contracts.

This section provides information and guidelines in preparing contract research, training and continuing education agreements.

7.1. Salaries and Wages

Salaries and wages for contract research, training, continuing education and similar projects will be determined based on specific agreements relating to the scope of work resulting from negotiations with the contracting agency or client. This includes salaries and wages for faculty, faculty administrators, professional and technical staff, administrative staff, undergraduate and graduate students.

7.1.1. Faculty and Faculty Administrators

The following describes compensation for faculty and faculty administrators (collectively "faculty") involvement in these projects:

- a) Compensation for projects with a duration less than a semester will be negotiated based on the total number of hours required for the project using the faculty

member's hourly rate provided by Financial Operations. Faculty members who participate in these projects may receive additional compensation based on the amount negotiated with the client or may receive course reduction funded by amounts negotiated with the client, in either case as approved by the faculty member's Department Head, School Dean and the Provost and Senior Vice President for Academic Affairs.

- b) Compensation for projects with duration of a semester or more shall be prepared in compliance with the guidelines in sections 2 and 3 above. Faculty members who participate in these projects will have the option of choosing course reduction and/or compensation based on the amount negotiated with the client subject to approval of the faculty member's Department Head, school Dean and the Provost and Senior Vice President for Academic affairs.

7.1.2. Undergraduate and Graduate Students

The wages for undergraduate and graduate students will determined based on negotiations with the funding agency.

7.1.3. Professional and Technical Staff

Any professional and technical staff member who is not a faculty member, faculty administrator or student in one of the above categories, will be included in this category. Examples include laboratory technicians, assessment experts, and administrative staff.

Wages for these individuals vary with the requirements. Salaries for these positions are usually budgeted for on an hourly basis subject to negotiations with the client.

7.2. Fringe Benefits

Fringe benefits may or may not be included in the contract depending on the negotiations with the funding agency. If the funding agency is willing to pay fringe benefits, they should be computed according to the guidelines in Section 3.

7.3. Indirect Costs and Distribution of Funds

Indirect costs may or may not be included in the contract depending on the negotiations with the funding agency. If indirect costs are included, the indirect cost rates described in Section 3 should be used in determining the indirect cost for the project. The indirect cost will be allocated as described in Section 3.

7.2. Process for Research, Training and Continuing Education Contracts

The Office of Academic Affairs will "facilitate" contract research, training and continuing education contracts using the guidelines provided in Sections 2 and 3 above.

APPENDIX A
GRANT PROPOSAL PROCESS FORM

ROBERT MORRIS UNIVERSITY

GRANT PROPOSAL PROCESS FORM

Contact Office of Academic Affairs at (412) 397-6227 with questions about form or process

For Academic Affairs Use Only

Proposal #:
Department #:
Agency#:

On-Campus Research _____
Off-Campus Research _____
Student Fellowships _____
Other _____

Investigator Data		
1. Principal Investigator (PI): 2. Co-Principal Investigator (Co-PI): 3. Other:	Department: Department: Department:	
4. PI Phone No.:	5. PI Fax No.:	6. PI E-Mail Address:
<i>NOTE: This form is required for grant proposal processing. Proposals should be submitted to Office of Academic Affairs 3-weeks prior to submission deadline. Proposals that do not meet this deadline may not be reviewed. Expedited review will be accomdated for grants under \$5,000.</i>		
7. Project Title:		
8. Proposal Type: New _____ Resubmission _____ Continuation _____ Renewal _____ Supplement _____	9. Project Type: On-Campus Research _____ Off-Campus Research _____ Student Fellowships _____ Other _____	
10. Current RMU Award No.:	11. Current Sponsor Award No.:	
Sponsor Data		
12. Sponsor's Name:		
13. Contact Person (ATTN):		
14. Address:	15. E-Mail:	
16. Proposal Deadline Information: Regular Mail _____ Electronic Submission _____ Overnight _____ Original + Number of Copies _____ Due Date _____		
Budget Data		
17. Project Period: From: _____ To: _____	18. Indirect Cost Rate: On-Campus (36%) _____ Off-Campus (18%) _____ Waived _____ Other _____ <i>Indicate if full indirect cost is not allowed by the funding agency.</i>	
19. Total Amount Requested Direct _____ Indirect _____ Total _____	20. Total Cost Sharing: Direct _____ Indirect _____ Total _____	
21. University Contribution: Department Cost Sharing _____ Institutional Cost Sharing _____ School Cost Sharing _____ Other Cost Sharing _____		

Robert Morris University																				
Intellectual Property																				
22. Intellectual Property Is there any proprietary information in this proposal?																				
23. Human Subjects: Does this project involve human subjects or data obtained from human subjects that is not exempt? Yes _____ No _____ If "yes", Date of Approval: _____ If approval is pending, Date Submitted _____ <i>The research projects involving human subjects, and which are not exempt under the federal law guidelines, must be reviewed by the Institutional Review Board before the starting the project.</i>																				
Grant Proposal																				
24. Attach the grant proposal, grant proposal budget, and request for proposal form the funding source.																				
Approval and Signatures																				
<p>NOTE: Only Principal Investigator needs to sign. The respective School will be assigned administrative and fiscal responsibility.</p> <table style="width: 100%; border: none;"> <tr> <td style="width: 25%;"><u>PI/Co-PI Signature</u></td> <td style="width: 10%;"><u>Date</u></td> <td style="width: 25%;"><u>Department Head</u></td> <td style="width: 10%;"><u>Date</u></td> <td style="width: 25%;"><u>School Dean</u></td> <td style="width: 10%;"><u>Date</u></td> </tr> <tr> <td>_____</td> <td>_____</td> <td>_____</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> </table> <table style="width: 100%; border: none;"> <tr> <td style="width: 45%;"><u>Vice Provost for Academic Affairs</u></td> <td style="width: 10%;"><u>Date</u></td> <td style="width: 45%;"><u>Business Affairs Officer</u></td> <td style="width: 10%;"><u>Date</u></td> </tr> <tr> <td>_____</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> </table> <p>Note: Inform Academic Affairs if there are multiple organizations/universities are involved in the grant proposal.</p>	<u>PI/Co-PI Signature</u>	<u>Date</u>	<u>Department Head</u>	<u>Date</u>	<u>School Dean</u>	<u>Date</u>	_____	_____	_____	_____	_____	_____	<u>Vice Provost for Academic Affairs</u>	<u>Date</u>	<u>Business Affairs Officer</u>	<u>Date</u>	_____	_____	_____	_____
<u>PI/Co-PI Signature</u>	<u>Date</u>	<u>Department Head</u>	<u>Date</u>	<u>School Dean</u>	<u>Date</u>															
_____	_____	_____	_____	_____	_____															
<u>Vice Provost for Academic Affairs</u>	<u>Date</u>	<u>Business Affairs Officer</u>	<u>Date</u>																	
_____	_____	_____	_____																	
Robert Morris University																				

APPENDIX B
ACCOUNT DESCRIPTIONS

Supplies		
73060	Education Supplies	Supplies related to the end user's "core business." Items used in the classroom, labs, and sports programs. Some examples of these items are chemicals, textbooks, projector light bulbs, drum sticks & clips, sheet music, medical supplies, diploma covers, hurdles, goals, pucks , etc.
73070	Office Supplies	Supplies used in the office relating to day-to-day operations. Some examples of these items are pens, pencils, envelopes, note pads, staples, rulers, kitchen supplies, water cooler rental and refills, etc.
73210	Apparel & Uniforms	Supplies for sport teams (ISC, Athletic, Intramural, etc.), employee uniforms or lab clothing, and graduation apparel (including medallions).
73310	Promotional/Marketing Items	Supplies used to promote RMU and/or give-a-ways at RMU functions. Some examples include items with the RMU logo (pens, shirts, mugs), prizes, plaques, artwork, parking tags, gift certificates, etc.
73350	Non-Capital Equipment	<p>Contains items where the unit price of the purchased equipment is less than \$1,000 or has a life of less than 3 years (the item will not be used up or out of date/useless within one year)</p> <p>If the unit price of the purchased equipment is \$1,000 or more and the life is greater than 3 years, the charge should be assigned to a capital account (fixed asset accounts 16000-16999.)</p> <p>This line item also includes shoes and other athletic equipment like helmets and shin guards. This is because NCAA rules specifically state that shoes are athletic equipment, and athletic equipment is not apparel or part of a uniform.</p>
73520	Non-Print Media	Mutli-media materials (does not include printed media.) Some examples of these items include microfilm, microfiche, videos, CD's, films, etc.
73530	Periodicals	Library departments use this account for journals, magazines, newspapers, newsletters, etc. that are received on an annual basis through subscriptions. All other subscriptions should hit # 78500. Non-Library departments should use this account for purchases of books and/or supplies used to enhance job knowledge but not added to the Library collection.
73540	Non-capital Software	Purchase of computer software with a unit value less than \$1,000. If the software is \$1,000 or more, it should be charged to # 16930.
73560	Non-Capital Computer hardware	Purchase of computer hardware with a unit value less than \$1,000 (laptops, mobile devices, computer accessories, etc.)

Purchased Services		
74050	Internal Printing & Copying	All copying or printing that is done using departmental convenience copiers, laser printers, and/or jobs that are processed at the on-site IKON Center.
74100	Audit Fees	Cost of RMU's annual financial statement audit or the cost of any additional compliance audits required by a grant or funding source.
74200	Consulting & Professional Fees	Costs associated with utilizing someone who is an expert in a particular field which is providing a unique service of either a technical or professional nature to the University. All expenses related to the work should be charged to consulting fees including related material, travel, and meals where applicable. Honorariums to non-employees and payments to theatre participants, and dry cleaning services should be coded to this line item. Vendors with payments coded here should also have an Independent Contractor Evaluation Form on file.
74250	Service Contracts	The cost of service and/or support contract and/or agreements. Some examples of these include repair and maintenance of furniture, fixtures, and equipment, waste removal, pest control, software support contracts, maintenance agreements, renting access to a database, paycheck processing, etc.
74350	External Printing Services	Costs associate with jobs that are sent to outside printing companies. Typically this work will be coordinated through the Public Relations department. The Public Relations department can assist in determining the most cost effective way to produce a job and if the request should be sent to the IKON Center or to an external printer for processing. Also includes external printing of non-capital signs and banners.
74460	Advertising Production	Expenses related to creating and producing an advertisement (television, radio, or print.) This does not include the actual advertising cost.
74510	Fees, Licenses, Permits, & Fines	Used for business privilege licenses, licenses required for certification and/or accreditation, regulator filing fees, occupational license fees, municipal fees, late fees, penalties, permits fees, compliance fees/fines, test taking fees, etc. This does not include costs associated with dues to belong to associations/memberships.
74515	Direct Mail	Costs associated with purchasing list of names and processing mass mailing of materials. This does not include the postage associated with the mailings (see account #78650).
74700	Repairs & Maintenance	Non-contracted repairs, maintenance, or services for the physical plant structures and equipment. The materials used, however, are charged to account 73150-Maintenance Supplies. A purchase order is required for these supplies if the cost is more than \$250.

Other Expenses		
78250	Sponsorships	Used when a department sponsors another organization for the purposes of that area's advancement. If the sponsorship is for the purposes of institutional advancement, the President or a Senior Vice-President must approve. We are considered a sponsor if our name appears in a brochure for an event we gave money to and we do not attend the event (see # 78275 - Professional Development if attending the event.) Please remember that anything using the RMU logo should be approved by Public Relations. Also, lobbying sponsorships are highly regulated and limited. Please contact the Controller for more details.
78255	Internal Rent Expense	Internal transfer between RMU departments for rental of facility space. Mostly related to rental of rooms/areas in Sewall Center and ISC. This is budgeted by CFS and ISC area only, individual departments do not have to budget this expense.
78265	Rental Expense	Costs related to renting an item from an outside vendor. Some examples of these include renting of robes, sound systems, portable toilets, external space, tents, operating lease payments, furniture, fixtures, and equipment. If labor is included on an invoice for a rented item, this is also charged to rental expense.
78275	Professional Development	Used to capture costs associated with developing and/or training Faculty and Staff. Some examples are entrance fees for clinics, seminars, conferences, sponsorship event that is attended by an RMU employee, consultants time if coming to RMU campuses for personnel training, etc.
78280	Lodging	Costs associated with sleeping quarters (hotels) when traveling on official University trips. This includes Athletic team travel.
78285	Transportation	Costs associated with airfare, mileage, parking, road toll, cab fare, car allowance, car rental (and fuel), etc. when traveling on official University trips. This includes Athletic team travel.
78290	Meals & Entertainment	Costs associated with non-Parkhurst meals, and entertaining when traveling/performing on behalf of RMU. Also includes Athletic team meals and student entertainment programs. Other items can be flowers, cards, cakes, small gifts, etc.
78295	Recruiting	Contains costs related to student recruitment. Also used for employee recruiting process (background checks, travel, hotel, meal, etc.), and relocation/moving expense for employees.
78400	Parkhurst - Internal Food Service	Only expense for on-campus services provided by Parkhurst should be charged to this account. This includes departmental charges at the Food Court, Barista Café, or RoMo's and any other orders from Parkhurst for individual departments.
78450	Dues	Memberships and dues related to organizations that RMU or employees are involved with (includes professional associations and memberships.)
78500	Subscriptions	Subscriptions to newspapers, magazines, and other printed materials (non library related.)
78600	Advertising	Media advertising costs should come through the Public Relations department. This includes radio announcements, billboards, newspaper, and television ads. Advertising costs associated with hiring of Faculty and Staff should come through Human Resources. These include web, newspaper, and magazine employee advertising.
78650	Postage	Costs for stamps and other charges associated with postage and mailings (normal ground and overnight costs.)