

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

Prepared for

By

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

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

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

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

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

documentation or recordkeeping responsibilities of the OGSP and OGCA. The Office of Grants and Contracts Accounting shall receive and transmit all financial reporting. Other official communication will be transmitted by the Director of Grants and Sponsored Programs. PIs are encouraged to inc

overtime, or other additional pay and compensation. See 2.5.3.

schedule a time for submission and to be present during submission by OGSP. Where direct

sharing required.

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





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

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

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



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

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

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



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

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

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

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

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

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

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