

SECTION I: RESEARCH AND SPONSORED PROGRAMS AT THE UNIVERSITY OF NORTH FLORIDA

MISSION OF THE OFFICE OF RESEARCH AND SPONSORED PROGRAMS

The Office of Research and Sponsored Programs (ORSP) serves as the University's central administrative unit responsible for securing external resources through grants and contracts and providing financial and contractual stewardship of awards. ORSP provides dynamic and proactive services to cultivate and maximize external resources for relevant research, scholarly and creative pursuits. ORSP provides guidance and support to the University community in an environment that fosters the creative process and the enrichment of students and teaching, while ensuring protection of the University's financial, contractual, and regulatory obligations as well as accountability to external funding sources.

PURPOSE OF THE OFFICE OF RESEARCH AND SPONSORED PROGRAMS

The Office of Research and Sponsored Programs (ORSP) is designated as both the advocate and the administrative oversight office for all externally funded contracts and grants related to the research, training, and public service activities within the University. ORSP provides proposal and funding advice and assistance, award negotiations, post-award administration, accounting services, and financial administration for faculty interested in grants and contracts. Through the programs which it administers, ORSP contributes to professional development of faculty, enhances the educational experiences of students, and facilitates the University's efforts to address critical concerns of the community and region.

OBJECTIVES OF THE OFFICE OF RESEARCH AND SPONSORED PROGRAMS

- Ensure University community understanding and knowledge of ORSP services and how external funding can assist them in achieving individual and institutional goals.
- Ensure ORSP knowledge of University programs and faculty interest which can benefit from use of external contract and grant funding.
- Provide effective management of the ORSP Trust Fund to assure required cash flow, meet statutory and legal requirements, and enhance future development of research and training activities at the University.
- Provide services which facilitate and expand access to external funding by the University and enhance our success in acquiring such resources.
- Ensure that the terms and conditions of grants and contracts are met and that productive working relations are maintained with sponsoring agencies.
- Provide timely and highly accurate fund management and accounting services for contract and grant funds.
- Support and assist faculty and staff to effectively carry out the activities supported by grants and contracts within the complex milieu of sponsor rules and requirements and University, state, and federal regulations.
- Ensure continued growth in the capacity of ORSP staff and other University personnel to work effectively to achieve our mission through use of grant and contract resources.
- Contribute to ensuring a University environment which is supportive of research and scholarship and service to the larger community.

VALUES OF THE OFFICE OF RESEARCH AND SPONSORED PROGRAMS

In the conduct of its daily activity, ORSP incorporates: a learning approach to ensure effectiveness within a dynamic working environment; a commitment to excellence and professionalism in its delivery of services; and assurance of integrity in carrying out its responsibilities within a supportive and collaborative working environment.

ESTABLISHMENT OF THE OFFICE OF RESEARCH AND SPONSORED PROGRAMS

[Florida Statutes 1004.22](#) provide for the establishment of an Office of Research and Sponsored Programs at any University in the State University System. In 1975, the Board of Trustees, with the concurrence of the Board of Education, established the Office of Research and Sponsored Programs at the University of North Florida.

THE ROLE OF THE OFFICE OF RESEARCH AND SPONSORED PROGRAMS

The primary mission of a University is to provide a forum for the growth and exchange of ideas. Since ideas develop in the minds of people, communication between scholars and between faculty and students is the first basic function of a University. But without ideas to communicate, teaching can be an exercise in futility. Therefore, the second basic function of a University must be research, characterized by the spirit of free inquiry and the exploration and synthesis of ideas. These two objectives of the University are complementary. A superior educational experience can be provided to students most effectively through dual experience of exposure to both vigorous teaching and equally stimulating research. Extramural resources acquired through ORSP, can facilitate both teaching and research, as well as the application of ideas through public service.

The implementation of sponsored activities is greatly facilitated by a centralized administrative unit supporting project personnel in both pre- and post-award negotiations and procedures. Project managers are more efficiently kept abreast of new agency requirements, changes in contractual and grant regulations, fiscal procedures and reporting requirements, etc. A research and sponsored programs unit exercises influence in keeping duplication to a minimum and provides significant help in upgrading proposal quality through consultation with proposal authors and the application of the principles of grantsmanship. Not the least contribution of such a unit is its ability to lessen the problems encountered by faculty when they become immersed in the clerical, budgetary, and other administrative requirements of producing and managing contract and grant proposals and awards. The establishment of ORSP at the University ensures effective support for project managers and personnel as well as adequate supervision of the University's responsibilities in managing funds received.

ORGANIZATION OF THE OFFICE OF RESEARCH AND SPONSORED PROGRAMS

ORSP is a component of the Office of Academic Affairs. Research and sponsored programs implemented through ORSP and supported by monies administrated through the permanent ORSP Trust Fund will be initiated, conducted, and supervised by the faculty of the University. Wherever possible, the utilization of supporting services for research and sponsored programs will be through the usual University organization with as little duplication of effort as possible. ORSP is the unit responsible for giving leadership to the planning, organization and administration of the University's grant and contract activities. ORSP is a self-supported unit

which pays for its operation through recovered [Facilities and Administrative costs](#) realized from contracts or grants received by the University.

OPERATION OF THE OFFICE OF RESEARCH AND SPONSORED PROGRAMS

ORSP is an integral part of the University. Its operating policies and procedures conform to those established by the University, the Board of Trustees, and state statutes.

GENERAL ADMINISTRATION OF THE OFFICE OF RESEARCH AND SPONSORED PROGRAMS

ORSP functions under the authority of the President through the Office of the Provost and Vice President of Research with day-to-day management by the Director of the Office.

- The President of the University appoints a Director of ORSP who is the administrative head of the office.
- The President is authorized to develop any additional policies and procedures they deem necessary for the proper conduct of ORSP, provided they are not in conflict with the law. Copies of additional policies and procedures implemented are furnished to the University Board of Trustees.
- ORSP maintains appropriate records and related security measures.
- ORSP prepares budget recommendations, including applicable personnel positions and rates, and manage the permanent ORSP Trust Fund.
- An annual report of the operations and activities of ORSP is prepared and presented by the President to the University Board of Trustees.
- ORSP provides continual review of the administrative operation of the office to insure that it is providing adequate service to the University.

OPERATING EXPENSE OF THE OFFICE OF RESEARCH AND SPONSORED PROGRAMS

Operating expenses of ORSP are paid from the permanent ORSP Trust Fund. These expenses include salaries, other personnel services, supplies and expenses, operating capital outlay, and other costs associated with on-going operations and/or special projects or programs which contribute to the continued growth of extramural resources.

IMPACT OF GRANTS AND CONTRACTS ON EDUCATION

Assessment of the impact of research and training contracts, grants, and gifts on the educational program of the University and the welfare of the State is a shared responsibility of the faculty initiating the proposal, the appropriate department, and ORSP.

The Principal Investigator (PI) determines with the department chair and academic dean: (a) a schedule of duties and release time, if any, that provides adequate time to pursue the proposed sponsored program; (b) compatibility of the proposed program with the interests and objectives of the department; and (c) assurances that the facilities of the department are adequate for performance of the proposed sponsored training or research.

The PI also provides copies of the proposed project to their Academic Dean for review for conformance to college objectives and programs. The concurrence of the Academic Dean is required. Proposals are further reviewed by the Director of ORSP to determine if the project is

compatible with the role and scope of the University and that the contract or grant is basically sound and in accord with applicable regulations.

FUNCTIONS OF THE OFFICE OF RESEARCH AND SPONSORED PROGRAMS

ORSP provides advice and assistance to faculty and staff in preparing and submitting proposals requesting funds for research and other sponsored programs. There are four (4) major areas of responsibility and activity through which this is accomplished.

1. Liaison – ORSP is the University unit through which local, state, and federal government and other prospective funding agencies and organizations channel their requests for assistance utilizing grants and contracts. In addition, it is the agent through which faculty coordinate their efforts in the development of research and other sponsored programs. ORSP assists faculty in making contracts with government and private foundation officials; works to stimulate the interests of these agencies in appropriate University programs; and, provides a clearinghouse for information on faculty interests and University capabilities.
2. Information Services – Through established contacts with governmental agencies, private foundations, professional associations, and special periodicals, ORSP maintains a resource collection of current information about funding sources. Information about sources of program support – both public and private – proposal guidelines, new programs, and funding trends is shared with faculty, staff, administrators, and other persons affiliated with the University or requesting assistance from the University. ORSP supports access to Internet and other databases and sources providing online information on funding sources.
3. Proposal Preparation and Submission – In most instances faculty members initiate proposals for specific program interests that require outside funding. The initial faculty interest, along with the department and college support, is important to successful proposal development. In order to facilitate the preparation of the proposals, ORSP:
 - Assists faculty members in identifying specific funding sources;
 - Provides appropriate guidelines and other program information;
 - Reviews proposals for completeness and format;
 - Assists with actual proposal document preparation and submission;
 - Assists with budget preparation, including coordination of institutional cost sharing, required space, faculty release time and other commitments;
 - Coordinates University review procedures, required assurances and certifications, and transmittal to funding source;
 - Determines whether human subjects and animal care protection compliance are necessary and assists in developing adequate procedures;
 - Coordinates conferences and sponsored credit activities with Division of Continuing Education;
 - Monitors the status of pending proposals;
 - Attempts to expedite their review and approval;
 - Negotiates the legal and technical components of research grants and contracts or other agreements on behalf of the institution; and
 - Provides general assistance to the University in the planning and development stages of new programs and facilities whenever outside funding is a consideration.

4. Award Administration – Once a grant or contract is awarded to the University, ORSP maintains and coordinates review procedures necessary to insure compliance with applicable University, State of Florida, and grantor policies and guidelines; provides general administrative services to the PI, including the establishment of accounts and records, general coordination of other fiscal procedures, and general institutional support of the program; provides academic and other administrative units with appropriate reports and current status of all sponsored programs and funded research activities; monitors the compliance with both federal and state regulations; conducts all contract negotiations, including revisions, on behalf of the University; and monitors expenditures to assure compliance with University and funding agency policies.
5. Regulatory Compliance – ORSP is responsible for the administration and facilitation of regulatory compliance efforts associated with research activities at the University. This is accomplished through the coordination and monitoring activities of the Institutional Review Board for the Protection of Human Subjects (IRB) and the Institutional Animal Care and Use Committee (IACUC) as well as tracking and oversight of various compliance issues by ORSP staff. ORSP provides administrative assistance to the IRB and IACUC members. Additionally, ORSP is responsible for the University's program for education of faculty, staff, and students regarding compliance regulations and responsibilities of human subjects, animal care, and related issues.

SERVICES PROVIDED BY THE OFFICE OF RESEARCH AND SPONSORED PROGRAMS

ORSP is staffed by a [team of professionals](#) who provide the following services:

Proposal Development and Award Processing

- Sponsor identification
- Proposal development
- Networking and team building
- Proposal preparation
- Proposal submission and tracking
- Proposal approval and contract negotiation
- Input, maintenance and reporting of information related to grant/contract submission, award and performance
- Management report development and analyses

Fiscal and Program Management

- Contract negotiation and modification
- Project management assistance
- Preparation and submission of project amendments
- Preparation and monitoring of subcontracts
- Approval of payments to subcontractors
- Monitoring of compliance with federal/state regulations and funding guidelines

Grants Accounting Services

- Internal accounts and budgets establishment within the University's accounting system
- Invoice preparation to funding agencies
- Fiscal report preparation to funding sources, the Florida Board of Regents and various state and federal agencies

Regulatory Compliance

- Administration and facilitation of compliance associated with research activities at the University
- Administrative support to IRB, IACUC, and IBC
- Education of faculty, staff, and students regarding compliance issues
- Maintenance of a training certification database
- Monitoring of intellectual property issues related to contracts and grants
- Coordination of copyright and patent application procedures
- Tracking University compliance with various regulatory requirements (such as drug-free workplace, radiation safety, nondiscrimination, etc.)