

2011 Update of NMHU's Research Handbook

Summary

General edits were made throughout the Handbook including: (1) linking Handbook subsections to the new lifecycle of sponsored projects; (2) correction misspellings; and (3) refinement of wording without changing the meaning of the guidelines or policies; (4) the addition of new hyperlinks and more detail in sections relating to federal policies where appropriate; (4) inclusion of the phase "Project Directors", in addition to the Principal Investigator, when referencing responsibility to a sponsored project. The following report provides a breakdown of the major modifications drafted by each section in the Handbook.

Section 2: General Research Policies and Procedures

2.2.4. The employment eligibility verification is more detailed to reflect the current Immigration and Reform Control Act and to provide a procedure for verifying eligibility at NMHU.

2.2.5. The phrase "of the appropriate university officer" is replaced with "the Associate Vice President of Academic Affairs" in reference to setting up sponsored project accounts.

2.3., 2.3.2., and 2.4. The title of this subsection is modified to better link with the upcoming webpage on the lifecycle of sponsored projects.

2.5. An additional policy is added to Centers located outside the main campus to "report regularly to ORSP on the progress of the Center activities". The purpose of this addition to encourage regular communication of sponsored project Center's with the University.

2.2. 2.3., 2.4. and 2.5. These subsections broaden the application of the Handbook to include both Principal Investigators (PIs) and Project Directors (PDs). The current version of the Handbook only references PIs and some sponsored projects only require a PD. In addition, the term "research project" has been changed to "sponsored projects" to better match the wide variety of sponsored programs funded at NMHU.

Section 3: Proposal Administration and Management

Note: The items highlighted in yellow in this section are still under review by ORSP.

3.2. and 3.2.1. The title and introduction are expanded to clarify the importance of this subsection and to better link with the upcoming webpage on the lifecycle of sponsored projects.

3.2.1. In item #2, the term FR Committee is expanded to Faculty Research Committee since it is presented for the first time in this section. Item #4 is modified to address the critical review criteria of a proposal. Item #5 is modified to reflect a realistic time period for PIs/PDs to submit an application to ORSP given that the timeframe for writing a proposal has been reduced by the federal grant to 30 days.

3.3. The title is slightly modified to clarify the content of this subsection and to better link with the upcoming webpage on the lifecycle of sponsored projects.

3.3.1. This subsection is slightly modified to clarify content in the first two paragraphs relating to indirect costs.

3.3.2. NMHU's indirect cost is updated from 45 to 46 percent.

3.3.3. Reference to OBM Circular A-Section 21, Section F is hyperlinked to the appropriate federal web page. Item #2 includes the specific subsection reference for the OMB A-21 Circular. In addition, reference to indirect cost as it relates to fringe benefits in item #3 in the last bullet under (b) is specified to include vacations, holidays and sick leave.

3.3.4. In terms of F&A Exceptions, item #3 was modified to include a clarification of how actual costs are apportioned on-campus and off campus. In item #5, the F&A rate is corrected to the Universities current rate.

3.3.6. More detail is provided in subsection for calculating fringe benefits separate from vacations, holidays and sick leave in sponsored projects.

3.3.7. In the second bullet, the term indirect costs is added to clarify what is meant by F& A for calculating tuition and scholarships. In addition, the taxable responsibilities of student scholarships, grants, reduced tuition and graduate student exceptions, as defined by IRS, is added to this subsection to help PIs/PDs better communicate to student participants the taxable consequences of such payments.

3.3.14. A reference to cost sharing is added to give PIs/PDs a comprehensive picture of their budget responsibilities.

3.4. Reference to OBM Circular A-Section 21, Section G.7 is hyperlinked to the appropriate federal web page.

3.8. and 3.9. Both of sections are switched in the order they are presented to improve the flow of sequence for the reader.

New 3.8. The process for accepting and negotiating a grant through ORSP is specified. In addition, the title to 3.8.1. is changed to reflect the actual content of this subsection. Reference to "appropriate supervisors" is added in cases when a PD is not affiliated to any one specific school or college.

New 3.9. The majority of this subsection can be found in the revised 3.8. The remaining content refers specifically to non-funded proposals.

3.10. and 3.10.1. The titles of these subsections are refined to better link with the upcoming webpage on the lifecycle of sponsored projects.

3.2., 3.4., 3.5., 3.6., 3.7., and 3.10. The changes made to these subsections broaden the application of the Handbook to include both Principal Investigators (PIs) and Project Directors (PDs).

Section 4: Fiscal Management and Administration

4.1, 4.2., and 4.2.2. The titles of these subsections are refined to better link with the upcoming webpage on the lifecycle of sponsored projects. In addition, the changes made to these subsections broaden the application of the Handbook to include both Principal Investigators (PIs) and Project Directors (PDs).

4.2.1. The hyperlink *NIH 2011 Notice on Salary Limitations* is added to item #5 on Cost Sharing.

4.2.2. In item #10, the terms "holiday" and "sick leave" are added along with "vacation" charges to the project.

Section 5: Intellectual Property

5.1.1. The definition for inventorship is replaced with the definition provided by the U.S. Patent and Trade Mark Office.

5.2.1. The definition for a patent is replaced with the definition provided by the U.S. Patent and Trade Mark Office.

5.3.1. A hyperlink to copyright law is added to this section, as well as a definition provided by the US Copyright Office for copyrights.

5.6. The definition of authorships is added from the U.S. Patent and Trade Mark Office.

5.7.6. A hyperlink on trade and service marks is added in this subsection.

5.8.3. The list of penalties related to export controls is expanded from EAR to include IEEPA, ITAR and OFAC.

Section 7: Research on Human Subjects

7.1.1. Minor editing changes to “research” definition are made in this subsection.

7.3. Hyperlinks related to 45 C.F.R. § 46 are added to this subsection.

7.5. Item #6 includes an updated definition of clinical investigations.

7.2., 7.5., 7.6., 7.7., 7.8. The term “Institutional Review Board” has been changed to Faculty Research Committee.

Section 1: University Responsibilities and Authority

Section 6: Environmental Health and Safety

Section 8: Research on Laboratory Animals

Section 9: Conflict of Interest

Section 10: Non-Faculty Research Appointments

Section 11: Research Misconduct

No changes were made to these sections.