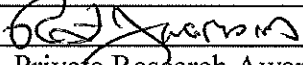


ARKANSAS CHILDREN'S HOSPITAL RESEARCH INSTITUTE

SUBJECT: ACHRI Research Awards Policy	DATE: March 3, 2010 PAGE 1 of 3
	APPLICATION: ACHRI
	DISTRIBUTION: Interdepartmental Policy and Procedure
	APPROVED BY: 
RECOMMENDED: ACHRI Administration	SUPERSEDES: Private Research Awards Policy 5/16/97; General Research Account Management Policy 9/7/00; Research Awards Policy 11/29/07

PURPOSE

To specify the procedures required to apply for and receive sponsored research awards. And to establish guidelines for appropriate use of general scientific research funds by Arkansas Children's Hospital Research Institute (ACHRI) staff and/or UAMS faculty on the Arkansas Children's Hospital (ACH) or Arkansas Children's Hospital Research Institute campus.

PROCEDURE

The procedures listed below must be followed by **all** investigators. All applications, including letters of intent, and the proper ACHRI required submission forms, must be approved by ACHRI administration and the investigator's UAMS department officials.

A. RESEARCH PLAN

Each grant application, letter of intent or contract must have a Research Plan including a description of the scope of work or protocol and a clear procedure for establishing closure of the grant/contract obligation (i.e. a final progress report signed by the PI assuring that all obligations have been met).

B. ANIMAL AND HUMAN PROTOCOLS' REQUIRED COMMITTEE REVIEW APPROVALS

Studies involving animals require UAMS Institutional Animal Care and Use Committee approval. Studies involving human subjects require approval from the UAMS Human Research Advisory Committee (IRB).

C. BUDGET

No awards will be accepted without a clear definition of the intended use of the funds PI must submit a proposed budget that clearly states how the awarded funds are to be used. This budget must be approved by the PI's UAMS department officials before submitting to ACHRI. The PI must assure that F&A costs are included and are correct, and items such as the required space, subject care costs, equipment, safety issues, chemical and radioactive disposal, and other needs are appropriate and indeed available, and to determine the impact of the proposed project on existing, pending and/or future research projects.

Upon approval by ACHRI, the funds for each award will be placed in an individual ACHRI Research Account and will be accessible only to the PI or his/her designee. Without written instructions to the contrary from the granting agency (filed at the time of awarding the funds), ACHRI permits the PI to transfer funds from one budget category to another at his/her discretion upon written justification that such transfer of funds are required for appropriate completion of the research outlined in the Research Plan.

In the case that budgeted funds exceed expenses (residuals), funds from all categories (salaries, fringe, equipment, supplies, etc.) will be combined and transferred at the discretion of the PI, into either (1) a General Research Account, or (2) the ACH Doctor's Funds (012500) accounts, or (3) the UAMS Foundation, or (4) ACH Foundation Research Account at the completion of the project. **NOTE: This does not apply to federally funded projects.** Funds in General Research Accounts may be used by the PI for any research project or research purpose he/she chooses. These funds, however, must be used solely for research purposes.

In the course of conducting the research, should it become apparent that the costs to conduct the research outlined in the Research Plan (or in any changes mutually agreed upon by the PI and the funding agency in the Research Plan) will exceed funds budgeted for the research, it is the PI's responsibility to obtain additional funds. Unless otherwise stated in writing at the time of the award, the PI can chose from two options. First, the funding agency may supplement the original award with funds sufficient to cover the entire cost of the research as outlined clearly in a revised budget, and a revised Research Plan where appropriate. Second, the PI may chose to obtain other funding sources (such as general research accounts, departmental funds, etc.) to complete the work (again with revised budget and research plan where appropriate).

D. FACILITY AND ADMINISTRATIVE (F&A) COSTS

F&A costs for awards are addressed in the F&A Cost Recovery Rates policy.

E. COMPLETION OF STUDY

1) Notice of Study Closure – Before the study is scheduled to close, the PI will receive notification, allowing him/her to file a continuance or proceed with the closing of the study.

- 2) Salary Recovery – Before the account is closed, all salaries are recovered from the account to cover the costs of salaries incurred by ACH or UAMS. The STS Coordinator will request enrollment numbers from you in order to expedite this process.
- 3) ACH Reconciliation of Account – ACH/ACHRI reconciles the account to ensure that all bills have been paid; all salaries have been recovered, etc., then closes the account.

There are other policies that may apply.

F. GENERAL RESEARCH ACCOUNT MANAGEMENT

General research funds are those that are residual funds from research conducted under the umbrella of ACHRI for which the original sponsoring agency has placed no financial restriction or reporting requirements. The ACHRI Board of Directors has determined that these general funds can only be used for research related expenses.

Funds are added or transferred to a General Research account in accordance with the policies and procedures established herein. The post award administrator will approve general research account expenses. The investigator must justify any expense that is determined to be unallowable. If the President of ACHRI is the investigator, he/she will justify any unallowable expense to the Executive Committee or their designee. ACHRI reserves the right to request justification for **any** expense on a General Research Account.

In the event the PI cannot adequately justify the expense, it will be designated as unallowable on any General Research account. Unallowable expenses to a General Research account include, expenses not research related, alcohol, entertainment, flowers, etc.