



**POLICIES**

Effective Date: 1 October 2010

Interim Date: July 21, 2015

Revised: July 1, 2015

Approved by: James E. K. Hildreth, Ph.D., M.D.  
President and Chief Executive Officer

Subject: Office of Research - Administration of Institutional Research Program and Center Awards

**PURPOSE:** Meharry is the recipient of a number of institutional research program and center awards that fund group research activities rather than a single research project. This type of funding is complex and must be administered with additional institutional oversight to ensure that the needs of the funding agency, the overall program and the institution are being met.

**POLICY STATEMENT:** Institutional research program and center awards must be administered in a manner that is transparent to all stakeholders, including investigators/activity leaders, cognizant MMC administrators, as well as internal and external advisory committees. Programs must be implemented from the ground upward with components being funded in accordance with the work proposed. Annual or periodic evaluations must focus on fiscal management, program/scientific program implementation, and outcomes.

Institutional research programs and centers are to be conducted in accordance with the following:

- policies and guidelines of, and direction from, the external funding agency
- the funding application and award (taking into account any changes made to the proposed program as indicated in the final award notice)
- Meharry's policies and procedures

**DEFINITIONS:**

**Budget Transfer Form-** Used to transfer funds between accounts

**FOPAL -** Fund Organization Program Account Location-the Banner unique identifier for an account.

**Line Item Budget -** A budget worksheet that allocates monies to categories within a specific FOPAL

**PI/PD -** Principal Investigator/Program Director

**PROCEDURE:**

The following steps are to be followed to activate and implement institutional research program and center awards:

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### **Setting Up Accounts**

1. A formal notice of grant award is received from the funding agency.
2. Meharry's post award office will set up accounts (FOPALs and line item budgets) for each component of the award in accordance with the funded proposal.
3. Agreements for subawards to other institutions will be prepared and coordinated by the post award office.
4. Investigators/activity leaders are provided full access and approval of their accounts in accordance with the PI/PD guidelines.
5. Program leadership and staff should conduct monthly fiscal analyses of each account.
6. Awarding of intramural pilot funds (see separate policy) or the appointment of new faculty investigators with program supported start-up must result in new FOPALs being established by the post award office and transfer of funds using the Budget Transfer Form. All Budget Transfer Forms for institutional research program and center awards must be approved by the Vice President for Research prior to implementation.

### **Changes in Account Allocations**

1. Should changes to the account allocations be desired at any point, a meeting of all program funded investigators and activity leaders must be convened to revisit the specific aims and discuss proposed budgetary changes. A representative from the Office for Research must attend the meeting. It is important that this be an open and transparent meeting and that minutes of the meeting are prepared and distributed to all meeting attendees, program funded investigators and activity leaders for review and correction, if necessary. The final minutes are to be redistributed with a copy sent to the Vice President for Research.
2. The final minutes of the meeting in item #1 above are then presented to the Internal Advisory Committee for their recommendation in a meeting that closely follows. The minutes of the Internal Advisory Committee meeting are distributed to the same parties as indicated above in item #1.

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3. The Vice President for Research will review the minutes of both groups and make the final decision. The post award office will implement any changes in allocation to accounts.

**Programmatic Aspects of Award**

1. Program leadership must establish the forum and frequency of participant meetings, program evaluation, Internal Advisory Committee meetings, and External Advisory Committee meetings, including the membership of the latter two committees, in accordance with the proposal and award notice.
2. If an Executive or Steering Committee is established, such a group must not supplant the function of the Internal Advisory Committee in terms of long-range planning, monitoring and evaluation.
3. Planning for an External Advisory Committee meeting should begin at least 9 months prior (standardized protocol to be separately developed) to the meeting date.
4. All relevant program documents must be maintained by program administration, including:
  - a. grant application(s)
  - b. minutes of all program committee meetings
  - c. financial records
  - d. program reports
  - e. evaluations
  - f. correspondence, including e-mails, related to program decisions

**EXHIBITS:** None