



**ARKANSAS STATE**  
UNIVERSITY

**Research and Technology Transfer**

# **Grant Writing Workshop 2025**

## **Day 5**



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# Research Compliance and Post-Award Functions

Research and Technology Transfer

[research@astate.edu](mailto:research@astate.edu)



# Meet Your Presenters



**Dr. Travis Marsico**

Vice Provost for Research,  
Innovation, and Discovery

Executive Director of the  
Arkansas Biosciences Institute

Professor of Botany



**Luna Acosta, MBA, ECM**

Director of technology transfer  
Director, Catalyst Innovation Center



# Meet Your Presenters

**Vanessa Wagner**

**Sponsored Programs  
Accounting Director**



**Jamaica Walker**

**Research Compliance  
Coordinator**



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# Research Compliance

**JAMAICA WALKER**

**Research Compliance**

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# Research Compliance

- Compliance Committees
- Export Control
- Undue Foreign Influence
- Financial Conflict of Interest
- Research Integrity and Misconduct

**PLEASE NOTE:** Slides may not reflect all recent U.S. Presidential Executive Orders (EOs).



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# Research Compliance

- Compliance Committees
  - Institutional Review Board (IRB)
  - Institutional Animal Care and Use Committee (IACUC)
  - Institutional Biosafety Committee (IBC)

These committees are autonomous. Administration may disallow research approved by these committees, but no one may approve research that was disapproved by these committees.



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# Institutional Review Board (IRB)

**PURPOSE:** Oversees research involving human subjects per HHS OHRP regulations codified at 45 CFR 46 to ensure risks are minimized to participants. Additional protections are required for vulnerable populations.

**CONVENES:** First Wednesday of each month during the academic year, as needed.

- Strives to approve within two weeks of receiving a complete, accurate protocol. This excludes convened review.
- Research: A systematic investigation, including research development, testing, and evaluation, designed to develop or contribute to generalizable knowledge.
- Human subject: A living individual about whom an investigator conducting research:
  - Obtains information or biospecimens through intervention or interaction with the individual, and uses, studies, or analyzes the information or biospecimens; *or*
  - Obtains, uses, studies, analyzes, or generates identifiable private information or identifiable biospecimens
- The IRB, not the PI, determines whether research is exempt-eligible.
- No activities may commence prior to IRB approval, including recruiting potential participants.





# Institutional Animal Care and Use Committee (IACUC)

**PURPOSE:** Oversees research involving animals per OLAW regulations to ensure proper handling, care and use; minimize pain and distress; use of animals is not excessive; alternative procedures are considered; euthanasia and disposal are appropriate.

**CONVENES:** At least twice annually to conduct facility inspections, program reviews, and review protocols requiring full committee review.

- Strives to approve submissions within a month of receiving a complete and accurate protocol.
- Operates under an OLAW domestic assurance.
  - Reports incidents of neglect or abuse and deviations to OLAW.
  - Reviews and approves standard operating procedures, research and educational use protocols.
  - Will pursue USDA research privileges in the near future.
- All research personnel, including students, must be appropriately trained and undergo medical surveillance.



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# Institutional Biosafety Committee (IBC)

**PURPOSE:** Oversees research involving recombinant DNA, synthetic nucleic acids, biohazardous agents, and activities requiring Biosafety Level 2 or higher in accordance with NIH Guidelines to protect individuals and the environment.

**CONVENES:** As needed for program and protocol review

- Strives to approve submissions within a month of receiving a complete and accurate protocol
- Non-compliance with NIH Guidelines requires timely, in-depth reporting to NIH
- Protocol submission timing correlates to NIH classification



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# CITI and Cayuse

**PURPOSE:** CITI is our research training provider. Cayuse is our protocol management software.

CITI: All research team members must have the appropriate CITI training prior to protocol submission. Submissions with incomplete CITI training will be returned without review.

- Self-register at [www.citiprogram.org](http://www.citiprogram.org)
- Must affiliate with A-State during registration and use A-State email address as the primary email address
- Complete the Responsible Conduct of Research course plus committee-specific courses, as appropriate

CAYUSE: PIs, Co-PIs, and faculty advisors must request an account via email to [CayuseIRB@astate.edu](mailto:CayuseIRB@astate.edu):

- Provide name, department, status and title, A-State email address, direct phone number
- Cayuse communicates via email. Users must ensure receipt of Cayuse emails.
- Training available in the Cayuse Help Center under “Researchers: Creating and Managing Studies and Submissions”



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# Protocol Submission

- All IRB, IACUC, and IBC protocols must be submitted through Cayuse.
- Cayuse is a response-driven web form and will adapt to answers.
- Users will be prompted to answer questions and add attachments to the protocol.
  - IRB – informed consent, surveys, site permission letters, data collection tools, etc.
  - IACUC – CV, animal procedures, permits, etc.
  - IBC – CV, DNA components and sources, vectors and selectable markers, permits, etc.
- Student protocols must be reviewed and approved by faculty advisor(s) before submission.
- The PI, all Co-PIs and faculty advisors must certify submissions before it will reach our office.
- After the committee reviews, they will either approve, return for revisions in order to secure approval, defer, table, or disapprove the study. Researchers will be notified by email.



# Export Controls

**PURPOSE:** Compliance with all laws, regulations, policies and guidance on exports and deemed exports.

- Impacts activities abroad as well as in the U.S.
- Export is an actual shipment or transmission of technology, information, or source code out of the U.S. It can include release or transfer as well as exporting visually, auditorily, verbally, and electronically.
- Deemed export is a release of export-controlled technology, information, or source code to a foreign national located in the U.S.
- Applies to physical items as well as information disseminated at a conference, services provided to foreign entity, etc.
- Three primary regulatory agencies:
  - U.S. Department of Commerce
  - U.S. Department of State
  - U.S. Department of Treasury



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# Export Controls

- **U.S. Department of Commerce Bureau of Industry and Security**

- Export Administration Regulations govern the Commerce Control List, which includes commercial and “dual use” technology, meaning technology with both commercial and military or proliferation applications.
- Most items fall under EAR
- Governs “release” of “controlled technology” as defined by regulations
- Country-specific by ECCN.
- Licensure may be required. There is a presumption of denial. License exceptions may be available.
- Examples: Shipping a FLIR camera to Germany for repairs; handcarrying a laptop to a restricted country; or showing a foreign student how to operate controlled technology on campus.

- **U.S. Department of State**

- International Traffic in Arms Regulations govern the U.S. Munitions List, including products and services designed for or directly applied to military purposes. One must obtain licensure prior to exporting items, releasing defense articles, or providing defense services. There is a presumption of denial.
- Example: Accepting restrictions prohibiting foreign persons or dissemination of DoD-funded research.



# Export Controls

- **U.S. Department of the Treasury**
  - Office of Foreign Assets Control oversees Foreign Assets Control Regulations and economic and trade sanctions.
  - Designed to target foreign countries, regimes, terrorists, international narcotics traffickers, those engaged in activities related to the proliferation of weapons of mass destruction, and others who constitute threats to the national security, foreign policy, or economy of the U.S.
  - OFAC acts under presidential national emergency powers, as well as the authority granted by specific legislation to impose controls on transactions and freeze assets under U.S. jurisdiction.
  - Examples: Working remotely from an embargoed country; receiving payment from a specially designated national.

We must classify technology we create. The Director of Research Compliance can work with the governing agencies to determine classification and assist with obtaining licensure.



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# Undue Foreign Influence

**PURPOSE:** Protect U.S. investment in research. UFI occurs when foreign entities attempt to interfere with or steal U.S.-funded research.

- Concerns include:
  - Failure to disclose support from foreign organizations in federal grant applications; may overlap with grant scope or over-commit researchers;
  - Federal grant peer reviewers sharing confidential information with foreign entities;
  - Undisclosed significant financial conflicts of interest;
  - Misappropriation or unlawful transfer of U.S. intellectual property, data, or unpublished research results;
  - Unlawful transfer of research materials and samples;
  - Agreements with foreign entities that may impose obligations on researchers; and
  - Data security and cyberattack vulnerability.
- Disclose foreign support, commitments to foreign entities, significant FCOI during grant application process.
- Contact the Vice Provost for Research if you suspect attempts to recruit you into a foreign talent program.



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# Financial Conflict of Interest (FCOI)

**PURPOSE:** Protect funded research from bias that could result from investigators' conflicting financial interests.

- Applies to all individuals responsible for design, conduct, or reporting of research
- Does not apply to Small Business Innovative Research (SBIR) or to Small Business Technology Transfer (STTR)
- **Investigators must:**
  - Follow A-State's FCOI policies and procedures
  - Be trained about regulations, institutional FCOI policies, investigator disclosure requirements. FCOI training must be renewed every four years.
  - Disclose relevant significant financial interest, including those of spouse and dependent children.
    - Renumeration, equity interests, intellectual property rights and interest, reimbursed or sponsored travel received in the 12 months prior to disclosure which meets prescribed thresholds.
- **Timing:** Disclosures are required no later than at the time of application for NIH-funded research, within thirty days of discovering or acquiring a new SFI, and at least annually during period of award.

# Research Integrity and Misconduct

**PURPOSE:** To safeguard public health and the integrity of funded research, and to conserve public funds.

Governed by the U.S. Department of Health and Human Services Office of Research Integrity

- The Vice Provost for Research is the A-State Research Integrity Officer.
- Research misconduct is defined as fabrication, falsification or plagiarism in proposing, performing or reviewing research, or in reporting research results.
  - Does not include honest error or differences of opinion.
- Fraud is regulated by civil or criminal fraud statutes and lies beyond ORI jurisdiction. The ORI is required to refer suspected fraud to the appropriate office, e.g., DOJ or HHS Office of the Inspector General.
  - Outcomes for individual researchers and their institutions include corrective action, debarment, or recovery of PHS funds, suspension of future funding.
- IF YOU SUSPECT RESEARCH MISCONDUCT, PLEASE CONTACT THE VICE PROVOST FOR RESEARCH, DIRECTOR OF RESEARCH COMPLIANCE, OR FOLLOW A-STATE WHISTLEBLOWER POLICIES.



# Questions?



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# Sponsored Programs Overview

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# Overview

- Introduction
- Types of costs
- Allowable Costs
- Special Considerations
- Banner 9 & SSB Directions



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# Total Costs

**Total Costs**  
*of a sponsored  
agreement*

=

*Allowable Direct Costs*

+

*Allocable portion of institution's*  
**Allowable Indirect Costs**

-

*Applicable Institutional*  
**Credits**



# Direct Costs

- Must be:
  - **Specifically identified and assigned** with a particular sponsored project, instructional activity or any other institutional activity:

**Relatively easily**

*and*

**With a high degree of accuracy**

# Direct Costs, *continued*

- Typical Direct Costs include:
  - Salaries/Wages
  - Fringe
  - Materials and Supplies
  - Travel

All Must be Necessary for the Project!

# Indirect Costs

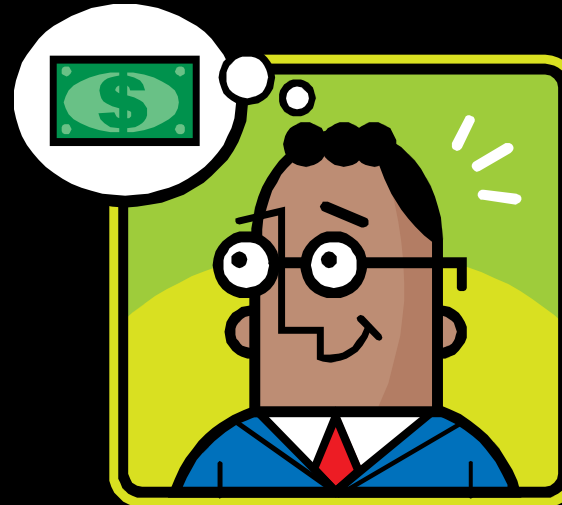
- Also called Facilities and Administrative (F&A) costs
- Indirect Costs are charged to sponsored agreements based on a rate negotiated in the contract and then reimbursed to your college through F&A Distribution every quarter
- Incurred for common or joint objectives
  - Cannot be **readily** or **specifically** identified with particular sponsored project
- Are never fully recovered

# Indirect Costs, *continued*

- Indirect (F&A) Costs include:
  - Facilities
    - Depreciation
    - Interest expense
    - Maintenance
  - Administration
    - Salaries/Fringe of Research Administration offices
    - Dean's Office's salaries and operating expenses
    - Departmental Office's salaries and operating expenses

# Allowable Direct Costs

- Allowable costs are:
  - Reasonable
  - Allocable
  - Consistent



# Reasonable Costs

- A cost is reasonable to a specific sponsored project if:
  - The cost is necessary for the operation of the agreement
  - The nature and amount of the goods or services reflect the action that a prudent person would have taken
  - The cost is consistent with university policies and practices

# Allocable Costs

- A cost can be allocated to a specific sponsored project if:
  - The cost is incurred solely to advance the work of the sponsored agreement
  - The cost is chargeable and assignable in accordance with relative benefits received
  - The cost is necessary to the overall operation of the university



# Allocating Costs

- Proportional benefit
  - Cost benefits two or more projects in proportions that can be easily and accurately determined
- Any reasonable basis
  - If costs cannot be allocated by proportional benefit, allocate costs between projects on any reasonable basis

# Consistent Costs

- A cost is consistent in a sponsored project if:
  - The cost is estimated, accumulated and reported uniformly with A-State's cost accounting practices
  - The cost, when incurred for the same purpose, in like circumstances is treated as either:
    - A direct cost only
    - An indirect cost only



# Special Considerations – Salaries

- Percentage of salary charged to specific projects must reasonably reflect the time spent on the project (allocable)
- We certify time and effort each semester, and the report comes straight from the ESF's that are created in the department or from Taleo.
- Once time and effort record is locked and certification period is complete, we cannot reallocate for that time period.



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# Special Considerations – Part-Time Salaries

- Plan for part-time workers to only be able to work 28 hours per week during the summer
- Part-time workers should have their paperwork done and have their time sheet ready when they start work (no retroactive pay)
- If retroactive pay is necessary, remember the pay from a sponsored program cannot cross time and effort period deadlines



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# Special Considerations – Fringe

- The costs of fringe benefits are distributed proportionately among projects in the same ratio as the salaries.
- Fringe is never encumbered, so always plan for it when making spending projections.



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# Special Considerations – Supplies & Materials

- Advertising Costs
  - Allowable if related to and necessary for performance of project
    - Costs of communicating with the public and press pertaining to activities or accomplishments of project
    - Generally, recruitment costs are allowable
  - Advertising related to the general image of A-State are unallowable



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# Special Considerations – Supplies & Materials

- Communication costs
  - Allowable only for costs directly attributable to a specific project (*i.e. Long distance charges*)
- Rental costs
  - Allowable for reasonable costs when incurred specifically for the project
    - Amounts paid for profit, management fees, and taxes that would not have been incurred had the institution purchased the rental item are unallowable





# Special Considerations – Travel

- Air Travel
  - Fly America Act
    - Must always use U.S. air carrier even if the foreign carrier is less expensive or more convenient
  - Must always fly coach or equivalent
- Lodging
  - Allowable if costs do not exceed charges normally allowed by A-State
- International Travel – must be approved by the compliance officer and, in some cases, by the sponsor
- All travel expenses on federal awards must have a brief description of why they are necessary for the award



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# Special Considerations – Equipment

- Unless there are special circumstances, equipment purchases should be completed no less than 90 days prior to the end of the funding period.
- If equipment will be used by more than one project, it needs to be allocated to each project in a proportion that mirrors its use.



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# Special Considerations – Student Scholarships and Aid

- Stipends for project participation
  - Eligibility Requirements:
    - Activity is part of student's overall educational program
    - Activity benefits the student, not the university
    - Activity is considered extracurricular, but not a tangible service to the university
    - Services rendered by student are such that the university would not consider hiring an employee to perform the activity (Would the PI have to do it if no one else would?)

***Note: Under no circumstances shall tuition and fees be paid in place of wages for services rendered to the project or university.***



# Special Considerations – Tuition Remission

- Tuition Remission only available for GRA's
  - Eligibility Requirements:
    - Student must be involved in research
    - Student must meet GA requirements
    - Tuition remission must be paid in the same proportion as salary
    - No fees or health insurance can be paid from a grant



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# Special Considerations Proposal Costs

- Proposal Costs are unallowable as direct costs
- This Includes (but is not limited to)
  - Travel
  - Books
  - Salaries



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# Special Considerations - Cost Transfers

- Transferring expenditures to a sponsored project from another funding source
- Expenditures must be allowable to the sponsored project
  - Under no circumstances should a cost be transferred to any sponsored project for the sole purpose of utilizing unexpended funds or to cover losses or overages from other projects
- Expense Transfer Form – should be initiated no later than 60 days after the transaction or 30 days after the end of the project, whichever is sooner.



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# **Banner 9 & Self-Service Banner (SSB)**



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# What Can Banner 9 do for Grants?

- Obtain information on how the grant is set up in FRAGRNT
- Obtain budget and document information in FRIGITD.



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# What Can SSB Do for Grants?

- Approve Requisitions and Budget Transfers
- Initiate Budget Transfers
- Budget Queries
- View Grant Documents, including Requisitions, Purchase Orders, and Budget Transfers



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# Important Items to Remember

- All travel requisitions, including airfare and registration fees, must include the dates and purpose of travel.
- All travel for federal awards must include the purpose of the travel in the description
- If you put in a requisition for a cash reimbursement to an individual, please remember to e-mail a copy to your accountant.



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# Important Items to Remember

- Please do not use form FGIBAVL when you are looking up grant information. It will give you incorrect information.



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# Questions?





# Quiz

## Instructions

- You will receive **45 questions**.
- You have **25 minutes** to complete the quiz.
- Once time is up, your **results will be displayed**.
- **Check your own score.**
- The participant with the **highest score wins a prize!**



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# Quiz Answers

1	C
2	C
3	B
4	C
5	B
6	C
7	B
8	C
9	C
10	B
11	C
12	B
13	C
14	C
15	C

16	D
17	B
18	C
19	B
20	C
21	B
22	C
23	B
24	C
25	A
26	C
27	D
28	C
29	D
30	B

31	B
32	D
33	C
34	B
35	C
36	B
37	C
38	C
39	C
40	B
41	20 Years
42	Copyrights
43	Prosecution
44	Invention Disclosure
45	entrepreneurs

# Developing Narrative

## ◆ Why the Narrative Matters

- Serves as the core story that ties all parts of your proposal together
- Must be easy to read / skim
- Communicates the "why, what, when, where, and how" of your research
- Makes your proposal compelling beyond just technical details

## ◆ Key Elements of a Strong Narrative

- Problem Statement: Clearly define the need or gap your research addresses
- Significance & Impact: Explain how your work advances the field and benefits society
- Innovation: What is new or different about your approach? And at what scale? (New to A-State? New to Arkansas? New to the world?)
- Approach/Methodology: Describe how the work will be done (in accessible language)
- Feasibility: Highlight experience, resources, and team capability
- Alignment with Funder Priorities: Show how your proposal fits the funder's mission

# Developing Narrative Cont...

## ◆ Common Narrative Pitfalls to Avoid

- Overly technical language or jargon
- Weak linkage between goals, methods, and outcomes
- Lack of clarity about roles, timelines, or deliverables
- Ignoring compliance aspects (e.g., ethics, data sharing)

## ◆ Integrating Compliance into the Narrative

- Mention ethical approvals (IRB, IACUC, etc.) where applicable
- Discuss responsible conduct of research
- Describe in detail data management and sharing plans
- Touch on post-award oversight, as appropriate or required: reporting, financial stewardship, and audits





# Developing Narrative Cont...

## ◆ Questions to Guide the Discussion

- What makes a research narrative compelling to you?
- How do you align your research story with funder expectations?
- How do you balance technical depth with accessibility?



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# Questions?



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# Final Presentation

## Instructions:

- Each person will receive a **scoring sheet** that includes names, numbers, and a **rubric**.
- **Say your name and number**, then **present what you learned** from this workshop in **4–5 minutes**.
- While one person presents, **others will listen and score** using the provided rubric.
- The person with the **highest total score at the end wins!**



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# Post Survey

Please complete the **post-survey**. You should have received an email with the survey link.

Kindly take a moment to fill it out—**your feedback is important!**



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# Post Survey

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# Contact Research and Technology Transfer

- Email: [research@astate.edu](mailto:research@astate.edu)
- Phone: 870-972-2694
- Location: 6<sup>th</sup> Floor, Dean B. Ellis Library, Suite 613
- Website: [www.astate.edu/info/research](http://www.astate.edu/info/research)



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# **Grant Writing Workshop 2025**



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