



Office of Research & Sponsored Programs (ORSP)

Division of Academic Affairs
Goals & Objectives 2013-2018

ORSP:
GOAL 1: Develop, implement and maintain an inclusive array of Research Policies and Procedures that will ensure stakeholders' compliance with local university modus operandi, overall federal regulations, and other appropriate principles, pertaining to the legal, ethical and responsible conduct of research.

Correlating/Supporting Division of Academic Affairs Goal # 2 - "Cultivate & Sustain a Culture of Research & Innovation among Faculty & Students. The ORSP Goal also correlate/support The Lincoln University-wide Goal # 3 – "Foster a Learner-Centered Environment that Inspires Teaching, Learning, Research, Service and Support.

OBJECTIVES	STRATEGIC INITIATIVES
Develop specific policies and procedures aimed at the promotion and sustainability of Ethical and Responsible Conduct of Research by Lincoln University stakeholders.	<ol style="list-style-type: none"> 1. Review existing practices to identify and describe compliance and related concerns pertaining to research misconduct. 2. Draft policies on the ethical and responsible conduct of research that are aligned with the DHHS/Office of Research Integrity. 3. Perform vetting of draft policies with selected LU stakeholders. 4. Submit policies to President Cabinet for pre-approval before submission to appropriate channels for formal approval and adoption as a University-wide policy.
Develop policies and procedures that are aligned with the Federal Government's Regulations pertaining to Export Control and appropriate Technical Control Plan (TCP).	<ol style="list-style-type: none"> 1. Identify units on campus – to include Human Resources, Academic Affairs, Fiscal Affairs, Research & Sponsored Programs, International Programs, Information Technology, and Office of President – that have some role in compliance with Federal Export Control. 2. Employ the provisions of the following Federal Regulations in developing procedures for compliance at LU: Export Administration Regulation (EAR), International Traffic in Arms Regulations (ITAR) and Office of Foreign Assets Control (OFAC). 3. Implement a Council of Export Control Officers at LU to ensure pragmatic compliance.
Review, Revise, and/or Develop policies and procedures governing a university-wide Council of Institutional Review Board (IRB) to include the Human Subjects Committee (HSC), Institutional Animal Use and Care Committee (IACUC), and Academic Hazardous Waste Materials Committee (AHWC).	<ol style="list-style-type: none"> 1. Create an inclusive body of research compliances that is responsible for providing oversight for the use of humans, animals and hazardous materials by LU stakeholders – "Executive Council of the Institutional Review Board (IRB). AVP as Chair and Compliance Officer. 2. Establish independent HSC as per appropriate Federal Regulations. AVP as Ex-Officio. 3. Establish independent IACUC as per Federal Regulations. AVP as Ex-Officio. 4. Collaborate with Office of Human Resources to establish AHWC. AVP as Ex-Officio.
Develop and sustain University-wide Research Policies and Procedures on Publications and Publishing Costs.	<ol style="list-style-type: none"> 1. Review existing practices pertaining to publications of research articles – from sponsored and non-sponsored projects. 2. Engage Academic Deans and Department Chairs in developing appropriate policy.
Develop policies and procedures on Undergraduate Research at the Lincoln University.	<ol style="list-style-type: none"> 1. Create an inclusive website on engagement of undergraduate students in research and professional development activities. 2. Employ a Faculty member as Director of Undergraduate research to actualize the project.

ORSP: GOAL 2: Develop, implement and maintain an inclusive array of Sponsored Program Policies and Procedures that will ensure stakeholders' compliance with local university modus operandi and overall federal regulations, and other appropriate guiding principles, pertaining to effective, efficient, legal and ethical use of extra-mural funds.	
Correlating/Supporting Division of Academic Affairs Goal # 2 - "Cultivate & Sustain a Culture of Research & Innovation among Faculty & Students. The ORSP Goal also correlate/support The Lincoln University-wide Goal # 3 – "Foster a Learner-Centered Environment that Inspires Teaching, Learning, Research, Service and Support.	
OBJECTIVES	STRATEGIC INITIATIVES
Develop and sustain University-wide Sponsored Programs Routing Policies and Procedures.	<ol style="list-style-type: none"> 1. Review existing practices aimed at submission of completed sponsored programs' proposals to external funding agencies. 2. Create a document that is inclusive of local and federal policies and practices pertaining to development and centralized submissions of proposals – via ORSP.
Develop a University-wide Policies and Procedures on appropriate Sponsored Programs Compensation – during the Academic Year and Summer Months.	<ol style="list-style-type: none"> 1. Review prevailing campus practices on appropriate compensation for LU stakeholders who are engaged in extra-mural activities during academic and summer months. 2. Collaborate with Academic Deans, Department Chairs, and Research Investigators and Prospective Investigators in drafting university-wide compensation policies. 3. Conduct vetting of draft documents with LU stakeholders to ensure buy-in. 4. Engage President Cabinet in review of vetted document for possible adoption as university policy of compensation. 5. President secure approvals of official adoption of document from appropriate units – to include Board of Trustees.
Develop Policies and Procedures on Time and Effort Reporting ("TEAR") in the Use of extra-mural funds as per Federal Office of Management & Budget (OMB) Circulars A-21 and A-133.	<ol style="list-style-type: none"> 1. Review prevailing campus practices on appropriate and allowable use of time & effort on sponsored programs by LU stakeholders. 2. Collaborate with Academic Deans, Department Chairs, and Research Investigators and Prospective Investigators in developing university-wide "TEAR" document as per appropriate OMB Circulars 3. Conduct periodic training/workshops – individualized and group sessions – on completing the "TEAR" document
Develop Policies and Procedures on Financial Conflict of Interest by individuals engaged in Sponsored Programs activities.	<ol style="list-style-type: none"> 1. Review prevailing campus practices and/or policies on apparent financial conflict of interests issues amongst Principal Investigators and other essential key project personnel. 2. Collaborate with Academic Deans, Department Chairs, Fiscal Affairs and Human Resources to revamp and/or develop Financial Conflict of Interest policies and procedures. 3. Conduct vetting strategies to advance document for university-wide adoption. 4. Conduct periodic training/workshops – individualized and group sessions – on awareness of implications of non-compliance. 5. Complete annual Conflict of Interest document.
Develop a University-wide Policy and Procedure on Incentive Awards for Active Engagement and Sustainability in Sponsored Programs Activities.	<ol style="list-style-type: none"> 1. Review prevailing campus policies and /or practices on appropriate incentives to stimulate and sustain active engagement by LU stakeholders to invest in extra-mural activities. 2. Collaborate with Academic Deans, Department Chairs, and Research Investigators and Prospective Investigators in developing university-wide Incentive Awards. 3. Vet the process. 4. Recommend document to Cabinet for appropriate action.

ORSP:
GOAL 3: Develop, implement and maintain an inclusive array of Pre-award services and related products that will enhance the active engagement in sponsored-program activities by the Lincoln University of Pennsylvania’s stakeholders.

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OBJECTIVES	STRATEGIC INITIATIVES
Develop appropriate Pre-Award Forms for use by university stakeholders in the preparation of sponsored programs activities.	Listings of the following Forms: <ol style="list-style-type: none"> 1. Request for Release Time or "Alternative Work Assignment" ("AWA"). 2. Line Item Budgets 3. Time & Effort Reporting 4. Intent to Submit a Proposal
Institutionalize an inclusive and Functional Internal University Council for Research & Sponsored Programs.	<ol style="list-style-type: none"> 1. Collaborate with University Cabinet, Academic Deans, & Other University Administrators in identifying prospective Council Members; 2. Recommend Names to President for Approval and Invitation for Membership. 3. Establish the following functional committees within the Council: 4. Council Members Meeting at Least Three Times per Year.
Develop Sponsored Programs Learning and Professional Enhancement Series.	<ol style="list-style-type: none"> 1. Collaborate with the Center for Teaching & Learning in identifying and offering research & Sponsored Programs Professional development Series – via multiple modalities – “Noon Time Brown Bags”; Podcast; Webinar; Learning Communities; Workshops; Institutes; Conferences, etc.
Develop transparent strategies on How to Promote Engagement of LU Stakeholders on the Soliciting Funds from External Funding Sources	<ol style="list-style-type: none"> 1. Develop standardized Intent to Submit Grant document. 2. Collaborate with Division of Institutional Advancement in creating policies and procedures for solicitations of Private (Corporate and Foundation) Funds. 3. Collaborate with members of the University Research & Sponsored Programs Advisory Council.
Establish Research Themes that reflect institutional priorities for appropriate investments in the enterprise by LU stakeholders.	Employ the Functional Individual Research Interest ("FIRI") template to develop faculty Profiles that will enhance the documentation of the following: <ol style="list-style-type: none"> 1. University-wide Research Themes; 2. Academic Colleges Research Themes; 3. Academic Departments Research Themes.
Review, revise, and develop University-wide Publications on Marketing Research and Sponsored Programs opportunities.	<ol style="list-style-type: none"> 1. ORSP Website 2. The Catalyst Newsletter 3. “Grants & a Glance”

ORSP: GOAL 4: Develop, implement and maintain an inclusive array of <u>Post-award services and related products</u> that will enhance the active engagement in sponsored-program activities by the stakeholders of Lincoln University of Pennsylvania.	
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OBJECTIVES	STRATEGIC INITIATIVES
Develop appropriate Post Award Forms/Templates for use by university stakeholders in the effective management of their funded projects.	Listings of the following Forms/Templates: <ol style="list-style-type: none"> 1. Budget Matrices to establish Request Individual Project Accounts. 2. No Cost Extension 3. Record Keeping/Documentation of Project Activities
Develop Research Agreements to guide stakeholders and overall institutional compliances with the terms and conditions of sponsored programs.	<ol style="list-style-type: none"> 1. Provide procedures for Confidentiality non-Disclosure Agreements (CDA) 2. Provide procedures for Research contracts or agreement for both Prime and Sub-Awardees.
Strengthen the relationship between ORSP and Fiscal Affairs/Grants Accounting – to allow for seamlessness between pre and post-awards in the processing of all requests for financial management of funded projects by Principal Investigators (PIs).	<ol style="list-style-type: none"> 1. Conduct post-award sessions within 10 days of official notification of awards of grants – involving PIs and Key Personnel, Post Award Officer (PAO), and Senior Grants Accountant (SGA). 2. Conduct Periodic Meetings between the PAO and SGA. 3. Produce Periodic "Conformance Reports" to guide PIs and ORSP on legal draw-down of funds.
Provide a comprehensive oversight in the post-award management of the activities of funded projects – to include both the technical initiatives and financial usage of approved funds.	<ol style="list-style-type: none"> 1. Provide procedures for monitoring technical execution of projects. 2. Provide procedures for monitoring financial use of funds for compliance with university policies and procedures, and with federal regulations. 3. Provide procedures for monitoring accurate and timely reporting of project activities.
Develop Best Practices in Developing Working Relationships with Program Officers from Public and Private Funding Sources.	<ol style="list-style-type: none"> 1. Train faculty on how to appropriately approach and work with Program Officers. 2. Engage faculty members as Reviewers of Federal Proposals. 3. Lead faculty members in visits to directly discuss project initiatives with Program Officers before submission of proposals.

ORSP:
GOAL 5: Develop and implement a comprehensive sponsored programs productivity plan aimed at generating significant amount of funds during the 2013 to 2018 funding years.

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OBJECTIVES	STRATEGIC INITIATIVES
Generate at least \$3 million during the 2013-2014 fiscal years.	<ol style="list-style-type: none"> 1. Disaggregate sources of unit LU stakeholders' engagement in sponsored programs by academic colleges, University Library, Division of Student Affairs, Learning Resource Center, and Collaboratives. 2. Assign specific dollar amount per unit and collaboratives. 3. Provide individualized and group training and advising needed to develop and submit award winning proposals.
Generate at least \$3.5 million during the 2014-2015 fiscal year.	<ol style="list-style-type: none"> 1. Disaggregate sources of unit LU stakeholders' engagement in sponsored programs by academic colleges, University Library, Division of Student Affairs, Learning Resource Center, and Collaboratives. 2. Assign specific dollar amount per unit and collaboratives. 3. Provide individualized and group training and advising needed to develop and submit award winning proposals.
Generate at least \$4 million during the 2015-2016 fiscal year.	<ol style="list-style-type: none"> 1. Disaggregate sources of unit LU stakeholders' engagement in sponsored programs by academic colleges, University Library, Division of Student Affairs, Learning Resource Center, and Collaboratives. 2. Assign specific dollar amount per unit and collaboratives. 3. Provide individualized and group training and advising needed to develop and submit award winning proposals.
Generate at least \$5 million during the 2016-2017 fiscal year.	<ol style="list-style-type: none"> 1. Disaggregate sources of unit LU stakeholders' engagement in sponsored programs by academic colleges, University Library, Division of Student Affairs, Learning Resource Center, and Collaboratives. 2. Assign specific dollar amount per unit and collaboratives. 3. Provide individualized and group training and advising needed to develop and submit award winning proposals.
Generate at least \$7 million during the 2017-2018 fiscal year.	<ol style="list-style-type: none"> 1. Disaggregate sources of unit LU stakeholders' engagement in sponsored programs by academic colleges, University Library, Division of Student Affairs, Learning Resource Center, and Collaboratives. 2. Assign specific dollar amount per unit and collaboratives. 3. Provide individualized and group training and advising needed to develop and submit award winning proposals.

