

Portland VA Research
Foundation

Policy and Procedure Manual

Welcome	3
About PVARF	3
Contact Information.....	4
Source & Management of Funds	5
Research Activities	5
Transfer of Funds and/or Equipment	7
Educational Activities.....	7
Indirect Cost Rate.....	8
General Purchases/Expenditures.....	9
Equipment Purchases	10
Travel Policy	11
PVARF Travel Stipend for Funded VA Investigators.....	16
Visiting Scientist Program- Only one per PI per year.....	17
Defraying Publication Costs	17
Expenses for Recruitments and Relocations	19
Expenditures for Training of Employees and Investigators.....	19
Independent Contractors.....	20
Consultants	20
Business Meeting Expenses	21
Conferences Hosted by a PVARF Account Holder	22
License Fees	22
Subscription and Publications.....	22
Oregon Health & Sciences Research Stores.....	23
Payments to Research Subjects	23
Petty Cash Funds.....	24
Grant Submission Process.....	24
Sub awards.....	26
Conflict of Interest	28
Reporting Improper Activity	28
Residual Research and Education (RE) Funds Policy	30
Forms31	

Welcome

Welcome to the Portland VA Research and Education Foundation (PVARF), supporting medical research and education at the Portland VA Medical Center (PVAMC).

The mission of the PVARF is to enhance the health of veterans of all generations through medical research by facilitating research and education activities conducted at the Portland VA Medical Center. The PVAMC has been fortunate to receive several large grants that reflect the critical mass of scientists who have assembled here to investigate important diseases. Over the last 21 years, the PVARF has partnered with the PVAMC to develop a diverse research portfolio investigating a variety of ailments afflicting our nation's veterans.

The mission of the PVARF administrative office is to provide helpful, efficient, and friendly support to staff at the Portland VAMC in managing funds held in the PVARF. Your feedback on our performance is appreciated. All of the forms in the appendices of this manual may be photocopied and submitted to the PVARF administrative office when needed. Forms may also be obtained at the PVARF office. The Policy and Procedure Manual and forms are also available on the PVARF website/ under the "forms" tab

About PVARF

Established in 1989, The Portland VA Research Foundation (PVARF) is an independent nonprofit corporation whose mission is to facilitate the research and educational activities conducted at the Portland Veterans Affairs Medical Center (PVAMC). The PVARF is a 501 (c)(3) tax exempt corporation. Located on the grounds of the Portland VA Medical center, PVARF provides administrative support for the research and education projects approved by the Research and Development or Education Committees being conducted by clinicians and scientists at the PVAMC, who many also hold faculty appointments at Oregon Health and Science University. The mission of the PVARF administrative office is to provide helpful, efficient, and friendly support to VA staff at the Portland VAMC in their research, and education endeavors.

The PVARF is governed by a 10 member **Board of Directors**. Four of these board members are statutory: Director, Chief of Staff, Associate Chief of Staff (ACOS) for Research and Development, and ACOS for Education. The Board of Directors has appointed an Executive Director to develop and implement policy and manage the operations of PVARF.

The PVARF undergoes an annual financial audit by an independent auditing firm. The auditors annually report the results of the audit and their review of the financial operations to the Board of Directors.

2008 Audited Financial Statement

2009 Audited Financial Statement

Contact Information

Portland VA Research Foundation

Mailing Address: PO Box 69539. Portland, OR 97239

Office Location: Building 104. Room G218 & G219. Mailcode: R&D

David Hickam, MD, MPH

President

Phone: 503-220-8262 **x57288**

Fax: 503-273-5367

Email: david.hickam@va.gov

Email: hickam@ohsu.edu

Shelley Cobb

Executive Director

Phone: 503-220-8262 **x54659**

Fax: 503-402-2866

Email: shelley.cobb@va.gov

Email: cobbs@ohsu.edu

Marcia Hinsvark

Payroll and HR Specialist

Phone: 503-220-8262 **x54119**

Fax: 503-402-2866

Email: marcia.hinsvark@va.gov

Mandy Dailey

Accounts Payable Specialist/Payroll

Phone: 503-220-8262 **x55228**

Fax: 503-402-2866

Email: mandy.dailey@va.gov

Source & Management of Funds

PVARF may accept funds in the form of grants, agreements or gifts from such sources as: Federal (non-VA) agencies or private nonprofit agencies; commercial organizations involved in the development of new medical materials and devices or in support of medical research and/or education; personal contributions; or from organizations or individuals to defray the costs of scientific meetings, teaching or other legitimate educational functions.

Funds donated in support of a research project can be accepted only if the Principal Investigator holds an appointment at the VA Medical Center and funds related to a project may be expended only after the VA Research and Development Committee approves the research for activation. All checks must be made payable to the Portland VA Research Foundation (PVARF). If a donor letter does not accompany the funds, PVARF will send an acknowledgement letter that outlines the intended use for the funds.

Funds donated in support of an educational activity may be expended only after the Education and Training Committee or its designated committee as detailed in PVAMC Education policy has approved the activity. PVARF may support education for VA employees and VA patients or their families.

Funds received for specific projects or activities will not be commingled with other donations. Separate accounts for each research project and education activity will be established in accordance with FASB 116-117 and the appropriate OMB circular. At the end of a study, Investigators will follow close out procedures.

Research Activities

Funds administered for research projects are managed separately from funds administered for education projects. Funds received by PVARF for support of research cannot be allocated to educational activities, unless the donor has made no restrictions on the use of the funds or has provided specific permission for reallocation of the funds. Likewise, funds received for support of education can be reallocated for support of research only under the same conditions. Research and education funds will be kept in separate internal accounts.

Principal Investigators:

PVARF uses the term Principal Investigator to designate the individual who has overall authority and responsibility for conducting a research or education project. The principal investigator (PI) for each project/activity must hold a VA appointment and also must be the same person who is named in the approval granted the project by the applicable committee or Education Committee. The PI for each project/activity is responsible for supervising all personnel for their activity.

Upon request and approval from the appropriate PI, the PVARF will pay personnel from the appropriate research or education account fund.

Project Approval:

All research projects must receive approval by all applicable committees/subcommittees prior to any funds being expended by the PVARF. Such committees and subcommittees may include:

the Research & Development Committee, Institutional Review Board for Human Subjects (IRB), Institutional Animal Care & Use Committee (IACUC), and/or Subcommittee on Research Safety (SRS).

In order to open a project at the PVARF, a PI must complete a New Account Request form, **attach the ACOS Notification Letter** and submit it to the Executive Director (ED). The *New Account Request* form identifies all individuals who have signature authority for requesting disbursements from the account. It also allows the PI to specify the research activities that will be supported by the account. The ED will forward the Account Request form to the Research Service administrative office that will confirm presence of an active, approved research or education project, sign the form and forward it to the PVARF.

There is no restriction on how many accounts an investigator may have. A separate account will be opened for each active research project.

Income Statements

Project Income Statements will be sent to the account holder on a monthly basis. The statement has 4 columns and provides activity for the current month, YTD activity, YTD Budget numbers (if applicable) and the variance between budget and actual. The bottom of the statement provides your "Ending Net Assets" which is the amount of money left in your account. If you have an employee on your account you will be notified immediately if your account balance is below \$2,000.

Delinquent Accounts

Investigators are responsible for ensuring that expenditure commitments do not exceed the available funds in their account. For research or education programs with employees, account funds will be obligated to cover anticipated payroll expenses for the next two months. These obligated funds will not be made available for other expenditures. If the total account balance falls to \$2000 or less, the investigator will be contacted immediately to make arrangements to add funds to the account or to make other arrangements for the payment of employees. For all accounts, any *Check Requests* or *Purchase Orders* that are submitted for payment from an account that does not have sufficient funds to cover the requested payment will be returned to the principal investigator without payment.

Study Closeout

A project account should not be closed in PVARF prematurely. When the project is completed and all expenditures have been made including for publication costs, the member should inform PVARF to close the account. Generally, this occurs at the same time as the project is removed from the R&D list of approved projects.

For grants that require final reports to the sponsor, the project will not be closed until the final report has been submitted and accepted by the grantor.

Most granting agencies will require return of all unencumbered or unexpended funds. However, requests for no-cost extensions are usually allowed if appropriate scientific rationale is provided. This allows an extension of the grant period and continued use of the project funds.

Sponsors may require requests for no-cost extensions to be received prior to the end of the expiration date of the project. Due dates may vary depending on the sponsor.

If residual funds remain after completion of the project, all expenses have been paid, and there is no requirement by the sponsor to return unexpended funds, these monies may be transferred to a general purpose research account. The funds may be used for general research or education expenditures within Board-approved policies

Transfer of Funds and/or Equipment

Transfer of Active Projects to another Institution

If the PI is moving to an academic nonprofit or other nonprofit research institution to continue an ongoing VA-approved research project, funds received by PVARF attributable to that project may be transferred to that institution at the discretion of the Board of Directors. If such funds retain donor-imposed restrictions, PVARF may be required to return remaining funds to the donor. Equipment purchases with PVARF attributable to that project may also be transferred at the discretion of the Board of Directors. Sponsor notification and approval are usually required. The destination institution must request the transfer and agree in writing to accept responsibility for the project, funds and equipment.

Transfer of Active Projects within Institution

If a PI resigns before a project is completed, the member may request that another PVARF PI assume responsibility for research or education activities with PVARF funding. This request requires either R&D Committee approval or EC approval, the approval of the PVARF Board of Directors and if necessary, sponsor approval. The PI should submit a written request to the Board of Directors for review. This request should be sent through the Executive Director.

Educational Activities

The Portland VA Medical Center (PVAMC) supports the ongoing development of its faculty and staff through educational activities designed to increase the knowledge used to facilitate patient care. PVARF is committed to facilitating such activities so that 3 major goals are achieved:

- Improving current job performance
- Maintaining and/or enhancing employee specialized proficiencies
- Expanding the knowledge pertaining to advances and changes in patient care, technology and health care administration
- Training veterans and their families

Review Process

All educational activities must be approved by the PVAMC Education Committee. **Please submit the Request for Education Account Form** (form) for review and approval of nonprofit education activities to the Executive Director for review and concurrence. The Executive Director will forward the requests to the Non Profit Education Subcommittee. The Subcommittee will base its recommendations for proposed nonprofit education activities on applicable VA Education policies pertaining to conflict of interest and appropriateness to VA's education missions. Requests will explicitly identify the source of the funds that will be used to support the activity (unrestricted education funds already deposited in PVARF, name of donor of restricted education funds, etc.). The Subcommittee will review, on an on-call basis, the requests submitted via e-mail. Supporting documentation will be attached to the request.

If funds to support the activity need to be solicited from outside sources (including individuals, corporations, or other organizations), such **solicitations cannot be made by VA employees** in their official position. PVARF will make the request and has a template request letter that is appropriate for most programs. The details of the program should be submitted electronically to the Executive Director. A letter will be generated on PVARF letterhead, reviewed and signed with the Executive Director signature.

If the template letter is not appropriate for a specific program or request, please provide details to PVARF so that a letter relevant to the program can be sent.

Indirect Cost Rate

RESEARCH PROJECTS

The term Indirect costs (IDC) denotes funds that are removed from the account to support the administrative costs of operating the corporation. These costs are incurred for common or joint objectives and, therefore, cannot be identified readily and specifically with a particular research project or an education activity. These costs are allocated to the direct activities through the use of the IDC cost rate. The PVARF has no other mechanism than indirect costs to pay for its administrative expenses. Investigators should plan for IDC cost assessments when developing project budgets and communicate this need to funding sources.

The IDC rate for federal or industry-sponsored research is 20%. The IDC rate for projects sponsored by scientific foundations will be the rate allowed by the organization or 20%, whichever is less. IDC will not be assessed on funds from non-profit organizations that have a stated policy of not providing IDC. There will be no IDC assessment for unrestricted donations by individuals, but donations from commercial entities may be assessed.

EDUCATION PROJECTS

The IDC assessed on an education account will be determined based on the following criteria:

Unrestricted Education Grants: The funds are used to invest in education purchases only. The indirect cost assessed will be 0%. If an employee is hired under this grant then a onetime 3% fee based on the employee's salary will be assessed.

Educational Grants: The funds are used to plan and conduct conferences or meetings. The indirect cost assessed will be 10%. This cost will include payment, employee hiring, deposit processing and human resource services. The cost of processing credit cards will be the actual transaction fees assessed by the processing bank.

Any charges requested for research a 20% indirect cost rate will be assessed.

General Purchases/Expenditures

General Information

Purchases made through PVARF must be in support of VA research or education. All purchases must be in compliance with Internal Revenue Service (IRS) guidelines for non-profit corporations and applicable federal regulations. In cases where requests for payment do not have an obvious direct link to a research or educational project, a clear explanation of how the expense is related to the investigator's project must be provided, or there will be a delay in providing payment. Examples of such written justifications are:

A purchase order for a laptop computer- "This computer will be housed in the project office and will be used by the study's research assistant to maintain a log of enrolled patients, to enter study data into a database program, and to perform statistical analyses on study data using SPSS software."

A check request for purchase of a box of printer cartridges- "These are toner cartridges for the laser printer in the project office that prints the individualized questionnaire generated for each subject enrolled in the study."

A check request for postage expenses- "This payment covers postage fees for 300 mailed questionnaires at \$0.78 per questionnaire."

Please contact the PVARF administrative office in advance if you have questions about the research justification of a planned purchase. Supplies, equipment, and needed services may be purchased on the open market. Any item over **\$10,000** must have at least three (3) bids unless sole source justification can be provided.

Purchases/expenses that are primarily of a personal nature cannot be paid through PVARF. Examples of such personal purchases/expenses include (but are not limited to): wedding or baby gifts, birthday parties, gifts or flowers to individuals, and contributions to other charities. Purchases for workplace refreshments, such as coffee, water and soft drinks, will not be reimbursed.

Requests for disbursement of funds should be prepared on either a PVARF **Check Request** or **Purchase Order**.

Purchase Orders are used for vendors who will bill the PVARF at a later date. The numbered *Purchase Order* forms must be signed out from the PVARF administrative office and kept secured until used. *Purchase Orders* must have a full description of the product, quantity ordered, per unit price and extended price. If freight or transportation is billed as a separate item, freight bill must accompany invoice. The complete vendor address, and phone number must be included. Inform all vendors that all invoices must reference the purchase order. All items are to be ordered by the investigator. The *Purchase Order* should then immediately be sent to the PVARF administrative office. If a justification for how the order is related to the investigator's research is not included on the *Purchase Order*, an accompanying memo should provide this explicit justification. When the order is received, the packing slip or confirmation of delivery must be sent to the PVARF administrative office. "Blanket" *Purchase Orders* can also be set up with prior approval from the administrative office. "Blanket" *Purchase Orders* must be renewed every year.

Check Requests are used to obtain reimbursement for items already purchased and paid for by an individual or when an immediate check is required. The *Check Request* form can be found on the PVARF website under "Forms". *Check Requests* must be complete and have a description of goods purchased, the vendor address, individual's home address (if personal reimbursement), and an explanation of the research purpose of the expenditure. Invoices and other supporting documents must be attached. Reimbursements require original receipts or paid invoices supporting the payment. An authorized account signer must sign all check requests. It is essential that the research or educational purpose of each purchase be clearly stated in the section of the form that designates the justification for the purchase (see examples above). The justification can be explained in an accompanying memo if additional space is required. *Check Requests* that do not include a clear justification will be returned to the investigator before being processed.

Reimbursements will **not** be allowed for expenditures if there are insufficient funds in the account. Upon receipt in the PVARF administrative office, a *Check Request* will be reviewed for adequate fund balance, account restrictions and proper supporting documentation. Upon securing signatures of authorized foundation staff, the request will be processed within 7 business days.

Equipment Purchases

Equipment includes items that will be used in an ongoing basis in a laboratory or office, such as microscopes, machines, computer hardware, and some types of computer software. It does not include consumable supplies. If the relationship of the equipment to a research or education project is not readily apparent, the investigator should request prior approval from the PVARF administrative office.

The PVARF administrative office will maintain an inventory list for equipment purchases made from each account. For each equipment purchase greater than \$5,000 and computer equipment valued at more than \$1,500, a label will be affixed with an identifying number.. An inventory list will be maintained that records the asset features, serial numbers of each item and the location of the asset. . A physical inventory of these assets will be made once per year.

All equipment purchases should be made through checks issued to suppliers (rather than personal reimbursements). A **Purchase Order** and **Asset Tracking form** (rather than *Check Requests*) must be completed for equipment valued in excess of \$1,500.

Prior authorization is needed for computer equipment and computer software that will be connected to or installed on the VA Network independent of the cost. Please fill out (Computer **Hardware/Software Purchase Authorization Form**) and submit to the PVARF Executive Director. The VA IT department will then review the information. Upon approval, the equipment or software can then be ordered. When the order is received, the VA IT department will provide installation services.

Equipment Transfer- The PVARF Board of Directors must approve transfer or sale of any and all capital equipment. Priority for transfer or sale is as follows: Principal investigators who purchased the equipment, other PVARF investigators, and other requestors.

Transfer of equipment may only be made to another not-for-profit institution. Correspondence to the receiving institution as well as their acknowledgement and acceptance must be retained for documentation. The party requesting the transfer of equipment (usually a PI) is responsible for the shipping of the equipment. The PVARF Executive Director and President must approve the sale of any equipment. Proceeds from any sales will be deposited to the PVARF corporate operating fund.

The PVARF may donate equipment to the VA, which will then maintain and inventory the equipment. Correspondence regarding the donation as well as the VA's acknowledgement and acceptance must be retained for documentation.

Travel Policy

PVARF funds may be used to support domestic or foreign travel expenses to bona fide scientific meetings or for other research and/or educational conferences, seminars, etc. that are directly related to conducting research or educational activities. Travel charged to a research account must be limited to purposes that relate to that project account's research activity.

Travel for educational activities not related to research must support the training and education mission of the VA.

GUIDELINES AND REQUIREMENTS FOR PVARF SUPPORT FOR TRAVEL

Non VA Employees- No prior authorization is needed from PVARF for domestic travel that is obviously linked to an investigator's research or educational program (e.g., a national meeting or scientific conference). If the link is not readily apparent, the traveler will need to obtain approval prior to the trip by submitting a Travel Reimbursement form. This form should be submitted to the Executive Director and accompanied by documentation that provides dates, location and purpose of trip. Obtaining prior approval will help to ensure that the traveler will be able to receive reimbursement for the costs of the trip.

VA Employees- All travel by VA employees paid for by the PVARF must be pre-approved in accordance with the appropriate VAMC policies. If you are a VA employee seeking reimbursement from PVARF for travel related to your research or education programs and you are expecting to travel on "Authorized Absence" from the VA, prior approval is required using the VA Form 0893. As a government employee going on domestic or foreign travel, you are responsible for complying with the requirements of your employer. The VA imposes special requirements for foreign travel for VA-paid employees. VA-paid employees are responsible for complying with these requirements.

Foreign Travel -All travel that is outside of the United States requires prior approval from the PVARF Executive Director.

Cash Advances

Cash advances will be granted in very rare instances based on need, generally to cover the ME&I (Meals and Incidentals) per diem. If you need to request an advance, please contact the Executive Director.

Transportation

Reimbursement for travel costs will be based on the most reasonable method of travel to the location, generally coach airfare. If the traveler chooses to take an indirect route, interrupt the business travel or utilize a mode of travel that requires additional accommodations en route, any resulting expense will be borne by the traveler.

Airline Reservations- If you would like the Foundation to make the airline reservations directly, please complete a Request for Prepaid Travel Form (with required signatures), attach the conference flyer/agenda, the preferred itinerary, and contact the Accounts Payable specialist to schedule a time to book your airline reservations. Traveler must be present to book airline ticket.

NOTE: Persons traveling on Foundation funds may not use government rate airfares. All Foundation paid airfare will be purchased at the basic coach rate. If you make changes to your ticket and there is a fee associated with this change, you and/or your project will be charged for the change(s). Generally, the cost of air travel is reduced with a Saturday overnight stay. If you can document that the cost for the hotel/per diem for the extra day is equal to or less than the

difference in air travel with the Saturday overnight stay, you may be approved to take advantage of this option.

Registration

Registrations can be pre-paid through PVARF directly to the meeting organizer. For the Foundation to pay your registration fees directly, complete a Request for Prepaid Travel, attach the conference flyer/agenda and include a completed registration form. Submit the entire travel packet at least two (2) weeks prior to any registration deadline to the Accounts Payable Specialist.

Alternatively, the registration cost will be reimbursed after the meeting along with other travel expenses.

Per Diem

A traveler may elect to accept per diem reimbursement for Meals and Incidental Expenses (M&IE) without a requirement for receipts. The per diem rate for domestic travel will be established at the current U.S. General Services Administration (GSA) per diem rate for the destination city. The per diem rate for foreign travel will be that set by the U.S. State Department. Per diem for the first and last day of the trip is reimbursed at 75% of the M&IE rate applicable for the city visited.

It is the traveler's responsibility to deduct partial per diem if participating in meals provided by a conference. See the Meals and Incidental Expense breakdown at the GSA website <http://www.gsa.gov/mie>.

Alternatively, a traveler may elect to claim actual expense reimbursement. Receipts are required for such claims. In determining reimbursement for these claims, a test of reasonableness will be applied.

Hotel/Accommodation Charges

Travelers will be reimbursed for reasonable standard hotel room costs up to 150% of the Federal government rate or up to a maximum of \$300 per night. Rates can be located at <http://www.gsa.gov/>. The original itemized hotel bill must be submitted with the reimbursement request.

Ground Transportation

Ground transportation reimbursement is generally limited to travel to and from the departure city airport/train station; from airport/train station to hotel; and from hotel to airport/train station. Reimbursement for ground transportation cannot exceed \$25 per each leg of trip without a receipt, i.e. airport to hotel, taxi from home to airport. Once the traveler has arrived at the hotel, taxis will not ordinarily be reimbursed; exceptions will be reviewed on an individual case basis. Excessive taxi costs will not be reimbursed if the traveler elected to forego reasonable less expensive transportation.

Baggage

Baggage includes both the traveler's personal property and any VA or PVARF property. Excess baggage charges may be allowed if justified by an explanation of the circumstances and provision of an original receipt for such charges.

Rental Cars

Rental cars may be used only when such rental is justified as being more advantageous to PVARF than the use of other means of transportation. Midsize or smaller cars should be rented. When renting a car the traveler should elect to take insurance offered by the rental car company. (If the traveler foregoes such insurance any liability will accrue to the traveler.) Original receipts for gasoline purchased for use in rental cars must be included if that is claimed as reimbursement.

Phone/Internet Charges

Business related long-distance telephone calls are permitted but should be kept to a minimum. Personal long distance telephone calls are usually limited to one per day and should be reasonable.

Charges for internet connections for purposes of reading e-mail are also permitted and will be reimbursed up to \$15.00 per day.

Split Travel Costs

If travel costs are to be divided among the PVARF and another organization (such as the VAMC or OHSU) prior approval must be obtained from the Executive Director. Submit a copy of the other organization's travel report and a completed **Split Travel Form** to the Executive Director.

Procedure for Reimbursement

Following return from travel ALL travelers must complete and submit a Travel Reimbursement form. Travel expenses which are appropriately documented (original receipts, boarding passes) will be reimbursed. Original itemized invoices or receipts documenting proof of payment are required for reimbursement of the following:

1. Transportation to and from the destination; if travel was prepaid by PVARF attach copy of Prepaid travel form.
2. Lodging accommodations;
3. Meals if claiming actual reimbursement instead of Federal Per Diem rate;
4. Rental cars, including associated gasoline purchases;

5. Parking charges;
6. Ground transportation costs in excess of \$25 per leg.

If there are insufficient funds in the project account to cover the reimbursement, you will be reimbursed up to the amount of available funds.

The Travel Reimbursement form must be completed and approvals obtained before your request for reimbursement will be processed. Incomplete forms will be returned to the traveler for completion, thereby delaying reimbursement. Claims for travel reimbursement should be submitted within 10 days of completion of travel. The claim must be submitted using the Travel Reimbursement Request form and be accompanied by required documentation, including original receipts and justification as discussed elsewhere in this policy and copies of any expenses prepaid by the foundation. IRS regulations require that travelers adequately account for expenses within 60 days after they were incurred. Therefore, it is critical that requests for travel reimbursement are submitted as quickly as possible.

1. Submit the completed Travel Reimbursement Request with the original receipts as described above and documentation of the conference, meeting, or seminar – This may be in the form of a copy of a cover page of a brochure, a flyer, or print out of a web page showing the name, dates and location of the conference. Individual expenses should then be entered for all items of expenditure on each day of the trip. There will be at least one column for each day of the trip. In the section "Purpose of Travel" the relationship to the research project being supported by the PVARF account. Please make sure a brochure/agenda is attached.
2. The federal per diem rate per day should be included on the form. There is a link to the Federal per diem on the reimbursement form. Travel days will be paid at 75%. Appendix D is an example of a correctly completed Travel Authorization Reimbursement form.
3. If your transportation and/or registration were prepaid by the foundation please attach a copy of your approved prepaid **Request for Prepaid Travel**.
4. Submit all documentation and approved Travel Reimbursement form to the Accounts Payable specialist within 10 days of your return.

Reimbursable travel expenses DO NOT include expenses incurred for travel costs of spouse (unless they traveling for recruitment purposes), dependents, or anyone other than the traveler.

Summary:

Personal car mileage	Reimbursed at federal mileage reimbursement rate. Limited to travel between the home or place of business and the airport and return.
Airline travel	Original airline ticket receipt is required. First class travel is not permitted.
Bus, rail	Actual expense, receipts required if over \$25 per leg of trip.

Taxi, bridge or ferry	Actual expense, receipts required if over \$25 per leg of trip.
Car rental	Allowable only as an exception. Include a justification of why car rental was used instead of public transportation. Actual expense, receipts required.
Parking	Actual expense, original receipts required, \$10.00 per day Maximum
Registration	Actual expense, original receipts or copy of registration form required.
Hotel	Actual expense (not to exceed 150% of the Federal Lodging per diem) or up to \$300, original receipts required.
Per Diem -	Federal Per Diem rate. Travel days paid at 75%
Meals Provided	Partial per diem- Breakdown per meal use http://www.gsa.gov/mie .
Internet Connection fees	Internet costs will be reimbursed up to \$15.00 per day.

PVARF Travel Stipend for Funded VA Investigators

The PVARF will provide each funded “VA investigator” with support to attend one scientific meeting per calendar year where an abstract submitted by the investigator has been accepted for presentation (talk or poster). A “VA investigator” is defined as being eligible to receive VA research funds from Medical Research, HSR&D, RR&D or Cooperative Studies. The following conditions must be met:

The investigator is principal investigator (PI) on a peer-reviewed grant from the VA or NIH that is active during the calendar year in question. For VA Cooperative studies, PI is the study chair.

- All expenses related to the meeting will be covered up to a maximum of \$1,800. These include abstract submission fee, registration, airfare, hotel, meals, and other expenses related to travel as described in the section above. Cash advances for travel will not be provided. Prior to committing personal resources, the investigator should forward a copy of the notification that the abstract has been accepted to the AO, Research Service and confirm that the investigator is eligible to have the trip in question reimbursed under this policy.
- A request for reimbursement utilizing the PVARF **Travel Reimbursement form** and the approved travel stipend funding letter should be forwarded to the PVARF administrative office after the trip is completed. All guidelines for reimbursement listed in the section above must be followed.

This program for support of VA investigators will be reviewed each year by the PVARF Board of Directors and extended only if the Board concludes that sufficient reserve funds are available to continue it. No commitments can be made that this current program will be continued in future years.

Visiting Scientist Program- Only one per PI per year

PVARF will allow a group of at least three (3) VA investigators to invite a scientist to visit the Portland VA Medical Center for the purpose of delivering a seminar and meeting with VA scientists individually to discuss research. Ideal uses of this program will be to promote collaborations or solicit input on pending grant applications. The target audience for the seminar would be the entire Research Service. The sponsoring PIs should advise the speaker that a presentation on the level of a *Scientific American* article would be ideal, rather than a talk targeted at a group of experts in a highly focused area. An individual PI may host only one (1) visiting scientist per academic year (September-June).

Funds will be provided by PVARF for the following expenses:

1. Up to \$750 honorarium
2. Hotel for 1-2 nights (maximum \$180.00 per night)

Dinner with the visitor and up to 4 VA scientists. (Please follow the Business Meeting Expenses policy)

3. Round trip air fare (coach class)
4. Incidental expenses (taxi, airport parking)

Prior approval from the ACOS/R&D is required. To utilize this program three (3) funded PIs should jointly sign a memo listing the name of the visiting scientist and requesting that he or she is approved for the program. This should be sent to the ACOS/R&D along with a copy of the individual's curriculum vitae.

If the request is approved, the group of investigators is responsible for extending the invitation and setting up the itinerary. A copy of the final itinerary should be sent to the ACOS/R&D. The PVARF office will reserve a room, prepare the announcement and provide lunch for the seminar.

Defraying Publication Costs

Purpose: To provide funds to cover or partially defray the costs associated with publishing peer-reviewed reports of original research findings. For each manuscript accepted that meets the criteria below, up to \$250 will be provided to cover page charges. To be eligible for reimbursement, the PI must make this request prior to returning the galley proofs and the AO/ACOS/R&D must have had a chance to review the galley proofs to make certain that VA support and employment is properly acknowledged.

Funds will be provided for costs related to pages charges, reprints, etc. if a galley proof is submitted to the Administrative Officer of R&D Service and the following criteria are met:

- PI must be the first, last or corresponding author

- Author must be at least 5/8 VA employee
- Manuscript must be a report of original data (not a review) that has been accepted into a peer reviewed journal

Procedure:

Hand deliver the galley proof of the manuscript and a copy of the invoice to the AO of R&D Service. Indicate if you want the \$250 moved to a VA account or a PVARF account and provide the account number.

The AO for R&D will process the request within 24 hours and return the galley proof to you and place your manuscript on the R&D Committee agenda for the next scheduled meeting.

The manuscript must acknowledge VA research support and VA employment according to the procedures outlined below. The galley proof will be checked for this information by the AO.

PROCEDURES FOR ACKNOWLEDGING VA RESEARCH SUPPORT AND VA EMPLOYMENT

a. Acknowledgement of VA Research Support. All publications and presentations of VA research results must contain the following (or equivalent) acknowledgement:

(1) "This material is based upon work supported (or supported in part) by the Office of Research and Development (add as applicable Medical Research Service, Rehabilitation R&D Service, Health Services R&D Service, or Cooperative Studies Program), Department of Veterans Affairs."

(2) If VA provided no direct research funding, but the research involved the use of other VA resources, e.g., facilities or patients, publications or presentations must contain a similar acknowledgement. For example, "This material is the result of work supported with resources and the use of facilities at the (name and location of VA medical center)."

b. Acknowledgement of VA Employment. Authors of clinical and research manuscripts, abstracts, books, book chapters, and presentations must acknowledge their employment using the following format: "VA Title, VA Service, Department of Veterans Affairs Medical Center, [City], [State]."

(1) When the author also holds a faculty appointment, the academic title and school also may be acknowledged.

(2) When the Principal Investigator (PI) has a 5/8ths or more VA appointment, VA must be named first, regardless whether VA is the primary source of funding or where the funds are administered.

(3) Authors or presenters of research results are required to list VA employment first if any of the following conditions apply:

(a) Work was funded primarily from VA resources (50 percent or more), either directly or indirectly;

(b) The research was conducted primarily in VA facilities; or the

(c) First author was a junior scientist (e.g., resident, fellow trainee) whose salary may not have been provided by VA, but who primarily used VA funding or facilities, or whose mentor or supervisor was primarily employed or funded by VA.

Expenses for Recruitments and Relocations

PVARF funds may be used to support expenses associated with the recruitment of new investigators. Reimbursement may be requested for expenses incurred by an applicant and spouse for one interview trip, if the applicant is being recruited for a position that will enhance the research program of the Portland VAMC. Reimbursement for the applicant's spouse is acceptable since it provides an opportunity to survey the housing market and other local facilities. The payment of spousal expenses applies to only one interview trip. A maximum of five days of expenses will be reimbursed. Expenses will include coach air travel, meals, lodging, tips, telephone and car rentals. All expenses must be properly documented, and original receipts are required. The *Travel Reimbursement* form must be submitted for each traveler when requesting recruitment payments.

If equipment or supplies have been donated by another institution to aid an investigator in setting up a new research or education program at the Portland VAMC, then shipping these goods to the VAMC may be arranged using a PVARF *Purchase Order* or *Check Request*.

Expenditures for Training of Employees and Investigators

Tuition payments or registration fees may be paid for courses that directly relate to the activities of an approved research or education project. Examples include courses on statistical analysis of research data or on programming computer databases. If the course is held at a distant site, the tuition was personally paid, and there were travel expenses, submit the reimbursement request using the travel reimbursement procedures described in Section 9 above. For tuition paid directly to the institution, submit the request using a *Check Request* form. As supporting documentation, include the original tuition statement and a written description of the relationship of the course to the approved research or education project.

This policy does not apply to general educational courses, such as coursework for attaining college degrees. Such expenses are the responsibility of the individual employee and are not reimbursable.

Independent Contractors

At times, it may be necessary and prudent to utilize the services of an independent contractor. Independent contractors often provide skills, knowledge and professional expertise that are not readily available in the workplace. As a result, PVARF recognizes the need to enter into contracts and has established the following procedures that must be followed prior to entering into a contractual arrangement.

The IRS has specific guidelines regarding who may be considered an independent contractor. In order to determine whether a contractual arrangement falls within these guidelines, it is necessary for PVARF to receive an **INDEPENDENT CONTRACTOR SELECTION form, an Independent Subcontract agreement and a completed W9** at least five (5) working days prior to the commencement of the contract.

Please follow these steps:

1. Submit signed contract documents to the PVARF Executive Director five working days prior to commencement of the contract.
2. In the area designated "Scope of Services," you should indicate:
 - which project is involved,
 - what work the contractor will be doing,
 - how it affects the project, and
 - the deadline
3. PVARF will review the contract documents and authorize the contract. A copy of the approved contract will be returned to the investigator.
4. Upon completion of the contract, submit a *Check Request* for payment. The *Check Request* should refer to the assigned contract and should have an original invoice from the independent contractor attached.

If documents are not received in advance for PVARF review and authorization, payment may be refused.

Consultants

Consultants are individuals who provide technical expertise needed for completing a research project or education program. While employees provide ongoing work on a project, consultants normally provide services on an interim or short-term basis. Criteria useful in determining whether to use a consultant rather than an employee to meet project needs include:

1. If the specialized skill, knowledge and resources to be provided by the consultant are not available within the Portland VAMC.
2. If the work cannot be done in a reasonable time with the investigator's existing work force.

3. If an independent and impartial evaluation of a situation is required by a consultant with recognized professional expertise and stature in a field.
4. If it will be less expensive to perform the work with a consultant rather than with an employee.

The qualifications of an individual to serve as a consultant can be established by possession of an advanced scientific degree or documentation of prior work. This information needs to be documented via curriculum vitae or resume.

Refer to Independent Contractors Procedures when hiring a consultant. Include the consultant's curriculum vitae or resume with the request. The payments are subject to IRS rules for reporting non-wage income.

Business Meeting Expenses

The PVARF, as an independent non-profit research corporation, must be compliant with tax law and VA oversight policies and is constrained in the type of business meeting expenses that can be reimbursed. The following situations are acceptable for business meeting expense reimbursements:

1. Meeting expenses with applicants for advertised scientific positions at the Portland VAMC (limit \$60 per person).
2. Meeting expenses with out-of-town visiting scientists to discuss research or education plans (limit \$60 per person).
3. Minor refreshments for research planning or educational activities such as lectures or workshops. The dollar limit for the total cost of refreshments cannot exceed \$5 per person.
4. Reimbursements for meals provided to employees when they are asked to work extra hours outside their normal tour of duty, such as working in the evening to finish urgent projects related to the approved research (limit \$15 per person).

The number of meal attendees should be reasonable. For meetings with job applicants, attendees may include non-scientists who can provide important information about relocation to the Portland area.

Any deviation from these guidelines requires prior approval from the PVARF administrative office.

Reimbursement Procedure:

Complete and submit Business Meeting Expense Reimbursement form or submit an invoice from vendor (include purchase order number) with the following documentation

Requests for payments or reimbursements for business meeting expenses must have the following documentation:

1. Name and title of person(s) who attended
2. Purpose of meeting
3. Nature of discussions held at meeting
4. Date and duration of meeting
5. Place of meeting
6. Original receipts for all expenses for which reimbursement is requested.

Conferences Hosted by a PVARF Account Holder

Tuition and fee payments made by attendees may be deposited in PVARF accounts only when the following conditions are met:

1. The Portland VAMC is prominently identified as sponsor or co-sponsor of the conference.
 1. The conference content includes either:
 - a. An education program previously approved by the VAMC Education Committee; or
 - b. Presentations of research findings and/or information about the application of research results to clinical practice, when the research results come from a project previously approved the VAMC R&D Committee.

Expenses for the conference may be reimbursed from the research or education account if appropriate original receipts or invoices are provided, along with an explanation of the relationship of each expense to the conference. Acceptable expenses include honorariums (not to exceed \$750), rental of conference space, refreshments, and travel expenses. Requests for payment of expenses should be submitted on a **Business Meeting Reimbursement Request form**.

License Fees

National VA policy prohibits use of PVARF funds to pay for professional licenses or fees for VA employees. License fees for employees who work exclusively for PVARF may be paid if such licensure is directly related to the activities of the approved project. Payments may be made for registration fees of continuing education or professional organization activities as long as the attendance is for a purpose directly related to the approved project.

Subscription and Publications

PVARF is committed to fostering access to scientific information that allows VA and PVARF personnel to remain current in their fields and apprised of cutting edge developments for the benefit of VA research and education. This involves subscribing to journals as well as facilitating VA investigators' full participation in scientific and educational organizations and conferences.

Personnel may request payment or reimbursement for the cost of subscriptions for research related publications and approved educational materials that provide a clear benefit for VA

research or education. Subscription requests must indicate a VAMC business - not residential - address for delivery.

If a membership is necessary to obtain the publication, or if it is cost-effective to pay for a membership in order to obtain the publication and/or to attend meetings at a significantly reduced rate, PVARF may pay the dues. However, the organization must have a research orientation as demonstrated by publication of research journal(s) and/or must hold scientific meetings of benefit to VA research. Prior approval of the Education Committee is required for educational subscriptions and/or memberships that have no research relevance.

Professional membership fees may be paid in a situation in which an employee of the Portland VAMC or the PVARF is required to join the organization to serve as the official representative of the VAMC or the PVARF to that organization.

Provide information about the journal and the dues on the **Subscription and Publications** form and submit to the PVARF office for payment .

Oregon Health & Sciences Research Stores

Some research programs may require periodic purchases using Oregon Health & Sciences' University (OHSU) research store. To accommodate these needs, OHSU permits creation of an account against which research purchases are made.

The purpose of a research store account is to facilitate purchases that otherwise cannot be made through the PVARF. Investigators who desire to set up an OHSU research store account should contact the PVARF Accounts Payable Department.

OHSU submits an invoice to PVARF on a monthly basis for charges to each account. After PVARF approval of the purchases, the invoiced amount will be deducted from the investigator's PVARF account after receipt of each invoice, and a check will be issued to OHSU for that amount.

Payments to Research Subjects

Investigators requesting payment to a subject for their participation in research activities must submit the name, and mailing address for each subject. If a research subject receives in total \$600 or more in a calendar year, the PVARF must submit information on the payments to the IRS.

Payments to research subjects include honoraria for participating in studies and direct payments for expenses of study participation, such as travel reimbursements. A request for payment to research subjects is submitted on a **Check Request** form.

Documentation of the research project approval by the R&D Committee and the Institutional Review Board (IRB) for Human Subjects is also required before issuing payment to a research

subject. Description and amount of payments to subjects are submitted to the IRB as part of the initial application process.

Petty Cash Funds

Petty cash funds may be established only when the investigator has established a compelling need. A request for a petty cash fund should be submitted via a **Check Request** accompanied by a written memorandum to the PVARF Executive Director. The memorandum should include an explicit description of how the funds will be used, why payments cannot be made through issuance of checks and a copy of the IRB Informed consent form outlining the proposed subject reimbursement. If the request is approved, petty cash funds may be used only for the purpose described in the memorandum of request. No more than \$300 may be kept in petty cash funds. If additional funds are required following an initial approved request (i.e., to replenish the petty cash fund), the investigator must submit a new **Check Request** form along with a complete report of the use of the existing funds and original disbursement receipts. Each report must include:

1. PVARF Account Number and title of research project.
2. Name of each individual who received cash.
3. Original signature of each individual.
4. Date cash was received.
5. Amount of cash received.
6. Purpose of payment.

Petty cash funds will be issued via a check made payable to the investigator, who will have sole responsibility for administration and security of the funds. All cash is to be stored in a locked box or otherwise secure location.

By January 31 of the following year, a complete report on the status of the petty cash funds must be submitted to the PVARF administrative office. The report must include a description of how all funds were spent and the amount of remaining unspent funds. If this report is not submitted or is incomplete, the petty cash funds will be reported to the IRS as personal income to the investigator.

Grant Submission Process

In order to submit a grant to an outside sponsor (including voluntary health organizations, other nonprofits, federal agencies or corporate sponsors); please review the Grant proposal guidelines for details. PVARF must review all grants prior to submission and receive a completed PVAMC PPQ Submission form for each project. For projects that require services or subcontracts with other organizations, please submit the materials to PVARF no less than two weeks prior to the submission due date.

For investigator-initiated projects obtaining corporate support, a Cooperative Research and Development Agreement (CRADA) must be established between PVARF, the corporate partner,

and PVAMC. Negotiation of CRADAs will be initiated by PVARF once the investigator has provided necessary information. All such CRADAs must be signed by PVARF and PVAMC. Investigators cannot enter into funding agreements that bind PVARF or PVAMC in any way.

Please note that all proposals being submitted to granting agencies prior to submission to the sponsor must be reviewed by the PVAMC R&D Committee. Principal Investigators submitting grants through the foundation must submit to the R&D office the scientific abstract and a completed PPQ. (See <http://www.visn20.med.va.gov/portland/Research/index.htm>)

Grant Proposal Guidelines

1) Portland VA Medical Center (PVAMC) Investigators/Staff Named on Proposal

<p>PVAMC investigators named on proposal for grants administered by PVARF</p>	<p>NIH Sub Awards: No salary may be requested for full-time PVAMC positions.</p> <p>If effort is requested, a letter from the investigator’s service chief is required, acknowledging this effort as part of his or her PVAMC appointment.</p> <p>Other Awards: PVAMC faculty may be able to request a portion of VA salary. PVARF will reimburse the PVAMC for grant related effort.</p>
<p>PVAMC staff named on proposal</p>	<p>NIH Sub Awards: The general rule is that VA staff cannot receive salary from the NIH on a grant. In some rare cases, NIH may allow a sub award to the VA for staff, with significant justification. The following statement must be included in the application’s budget justification:</p> <p><i>“This individual is a PVAMC employee. The VA will be reimbursed for the effort of this employee and there will be no dual compensation or conflict of interest for this work.”</i></p> <p>Other Awards: Salary may be requested.</p>

2) Other Institutions or personnel listed on a Grant Proposal administered by PVARF

<p>Other Institution faculty/staff</p>	<p>Salary only or salary and other expenses</p>	<p>Submission Requirements: A sub award will be required. Refer to the request for Sub award form. A full sign-off from subawardee institution is</p>
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3) PVARF Named on Other Institution Proposal- Non-Federal

PVARF/PVAMC Investigators/staff	Salary only or salary and other expenses	Submission Requirements: A sub award will be required with full review and sign-off by PVARF.
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Sub awards

1) The following information is required from the sub recipient for the proposal:

- Budget
- Budget justification
- Scope of Work or Specific Aims and Background

A draft of a sub award budget is required at least two weeks prior to the grant due date and the final signed documents are due five days before the due date.

2) Amendments and close-out

a) An amendment is required if there is a significant change to the sub award. A significant change can include, but is not limited to the following: a change in key personnel or a change in the effort of key personnel equal to or greater than 25%; an increase in the total award amount requested; and/or major re-budgeting greater than 25% of the total award amount.

b) Carry-over on sub awards may not be automatic. Specific requirements will be determined by with the funding agency.

c) Progress and final reports will be required. The terms and conditions will be defined in the sub award agreement.

OHSU Sub Award Procedures

Investigators who plan to utilize OHSU employees or other research services, and have funds at the PVARF will need to request a Sub Award. The Sub Award Form is used when there is an external funded sponsored project awarded to PVARF or when a VA researcher has unrestricted funds. Instructions and "**PVARF Sub Award Form**" are on the PVARF form website (Appendix R).

This mechanism can also be reversed. Investigators need to contact their OHSU department to request an OHSU/PVARF sub award.

Reimbursement of VAMC Costs

Projects that incur patient care costs specifically for a research project must reimburse the medical center for items such as laboratory, imaging, ambulatory care, inpatient care, medical service procedures, and pharmacy. The AO for Research Service assesses clinical costs from the Financial Administrative Review process. The financial administrative review process identifies those research-related study activities that impact non-research resources of the VA Medical Center. This paperwork is required for all human studies proposals which will use medical center resources such as extra clinic time, MRIs, labs, pharmacy, etc. Be sure to include these research-related costs into budgets for all new studies. The costs will be deducted from your project and returned to the VA Medical Center once study enrollment begins.

Investigator Salary Levels

Depending on the facts and circumstances of each individual situation, Principal Investigators may be compensated for time spent working on research projects awarded to the PVARF. This must be done under a formal memorandum of understanding (MOU) between the PVAMC and PVARF to make certain that there is no possibility of dual compensation for work on a specific project.

The PI may be compensated exactly at the hourly rate for which he or she is paid by the VA or may be compensated based on a portion of an agreed to PVARF institutional base salary.

A PVARF Institutional Base salary will be set based on the most recent data available from the American Association of Medical Colleges (AAMC), and on file at OHSU (<http://ozone.ohsu.edu/som/faculty/salaries.shtml>), for assistant, associate and full professors. For non-clinical Ph.D. scientists, summary statistics on Medical School Faculty Compensation for Western Region PhDs in basic science departments ("Total All Departments" table) will be used. For MDs, statistics for Western Region MDs in the department of their particular specialty will be used. At no time will the institutional base salary exceed the current cap set by NIH (currently at \$199,700).

For an investigator who is PI on a grant from the VA and PI on one other peer-reviewed grant from a national source, the maximum institutional base salary will be the mean salary for west coast faculty of comparable rank. For an investigator who is PI on a grant from the VA and PI on two other peer-reviewed grants from a national source, the maximum institutional base salary will be the 75th percentile salary for assistant and associate professors and the NIH cap for full professors. Faculty rank and number of grants as of the date the grant is submitted will be used for projecting salary. The salary must be clearly listed in the grant application so that when the funding source approves the budget, they are in effect approving the salary requested.

A formal MOU must be established to define this working arrangement, and time cards would be submitted to the PVARF to clearly document that work on the project was occurring outside of the PI's VA tour of duty. Salary from the PVARF will be awarded only for the duration of the award. If the award is not renewed, salary will be terminated.

Conflict of Interest

This policy is intended to supplement, but not replace, federal and state laws governing conflicts of interest applicable to nonprofit corporations. It applies to board members and staff with significant decision-making authority. Persons covered under this policy, as well as their relatives and associates, are hereinafter referred to as "interested parties."

A conflict of interest may exist when the interests or concerns of an interested party may be seen as competing with the interests or concerns of *PVARF*. There are a variety of situations that raise conflict of interest concerns including, but not limited to, the following:

A. Financial Interests - A conflict may exist where an interested party directly or indirectly benefits or profits as a result of a decision, policy or transaction made by *PVARF*. Examples include situations where:

- *PVARF* contracts to purchase or lease goods, services, or properties from an interested party.
- *PVARF* offers employment to an interested party, other than a person who is already employed by *PVARF*.
- An interested party is provided with a gift, gratuity, or favor of a substantial nature from a person or entity that does business or seeks to do business with *PVARF*.
- An interested party is gratuitously provided use of the facilities, property, or services of *PVARF*.
- *PVARF* adopts a policy that financially benefits an interested party.

A financial interest is not necessarily a conflict of interest. A financial conflict of interest exists only when the board decides a person with a financial interest has a conflict of interest.

B. Other Interests - A conflict also may exist where an interested party obtains a non-financial benefit or advantage that he/she would not have obtained absent his/her relationship with *PVARF*. Examples include where:

- An interested party seeks to obtain preferential treatment by *PVARF* or recognition for himself/herself or another interested party.
- An interested party seeks to make use of confidential information obtained from *PVARF* for his/her own benefit (not necessarily financial) or for the benefit of another interested party.
- An interested party seeks to take advantage of an opportunity or enables another interested person or other organization to take advantage of an opportunity that he/she has reason to believe would be of interest to *PVARF*.
- *PVARF* adopts a policy that provides a significant nonfinancial benefit to an interested party.

A conflict of interest exists only when the Board of Directors decides there is a conflict.

Reporting Improper Activity

The Portland VA Research Foundation (*PVARF*) requires directors, officers, investigators and employees to observe high standards of business and personal ethics in the conduct of their duties. As employees and representatives of the *PVARF*, we must practice honesty and integrity

in fulfilling our responsibilities and comply with all applicable laws and regulations. PVARF will not condone any activity that is illegal or improper, whether by an employee, investigator, board member, or administrative staff.

These guidelines are intended to encourage and enable employees and others to raise serious concerns within the PVARF prior to seeking resolution outside the PVARF.

Conduct that may fall into the category of improper activity includes fraud, theft, safety violations, misuse of funds intended for research or education, harassment, or retaliation.

Anyone filing a complaint concerning an improper activity must be acting in good faith and have reasonable grounds for believing the information disclosed indicates improper activity. No director, officer or employee who in good faith reports improper activity shall suffer harassment, retaliation or adverse employment consequences. An employee who retaliates against someone who has reported improper activity is subject to discipline up to and including termination of employment.

Guidelines for Investigating Improper Activity

PVARF has official policies about providing protection and due process for individuals who make reports of improper activities (known as the Whistleblower Protection Policy). This policy document is included in the PVARF Employee Manual. The following procedures are intended to define the process for investigating reports of improper activities.

- All allegations of scientific misconduct should be reported to the ACOS for Research and Development at the Portland VA Medical Center. The procedure for reporting allegations regarding scientific misconduct should be filed in accordance with the procedure described in the Portland VA Research and Development Department "Policy on Research Integrity".
- Allegations of financial misconduct or significant conflicts of interest should be reported to the management of PVARF. The PVARF Board of Directors will oversee the investigation of such allegations.
- Violations or suspected violations may be submitted on a confidential basis by the complainant or may be submitted anonymously to the Executive Director. If the concern involves the Executive Director, report the improper activity to the President (contact information for the President is listed in the front of the PVARF Employee Manual).
- Reports of violations or suspected violations will be kept confidential to the extent possible, consistent with the need to conduct an adequate investigation.
- A preliminary evaluation of the alleged improper activity shall be conducted by the Chairman of the Board of Directors and the President to determine whether there are sufficient grounds to warrant an investigation. It is expected that preliminary evaluations will normally be completed within thirty (30) working days of the receipt of a report of alleged improper activity.
- All individuals involved in investigation of the complaint will keep the identity of individual(s) who allege improper activity and who cooperate

in an investigation confidential to the maximum extent possible consistent with fact-finding and will make every reasonable effort to protect the privacy of all parties.

- If there are sufficient grounds to warrant an investigation, the investigation shall be conducted by a committee determined by the Executive Committee of the Board of Directors. This special committee shall include at least three Board members, at least two of which shall be elected members other than the President.
- If the alleged improper activity involves a member of the Board of Directors, the activity will be referred to VHA for further investigation.
- If the Board Chairman and President do not recommend formation of an investigative committee, the individual who brought the complaint may appeal this decision to the full Board at the next regular or specially-scheduled meeting of the Board of Directors.
- A confidential written report summarizing the results of the investigation shall be prepared by the investigative committee. The report shall be addressed to the Board of Directors and shall contain findings and recommendations resulting from the investigation. The investigative committee shall submit this confidential report within sixty days. The Board of Directors may then determine what further action, if any, is warranted.

Any employee who feels that adverse action has been taken toward him/her due to a report of improper activity should report this concern, as soon as possible, in writing to the Executive Director or the President

Residual Research and Education (RE) Funds Policy

Funds received for active research and education (RE) projects are restricted for the duration of the study and will be used for the support of that RE project. After the completion of a RE project, all remaining funds (residual funds), if any, will be transferred to a General Purpose(GP) RE account if the donor has not specified any further restrictions on the use of these funds.

Funds from a GP RE account may be used to support ongoing RE projects and RE-related activities at the Portland VA Medical Center. All expenditures must be consistent with policies and procedures established by the Board of Directors and are subject to approval by the Executive Director.

In the event an investigator with a General Purpose RE account administered by PVARF terminates his or her appointment (staff, WOC, fee, or contract) at the Portland VA Medical Center, funds will be forfeited unless a written request is sent to the Board of Directors for the approval to transfer the remaining funds in accordance with PVARF's Transfer of Funds and Equipment policy. Funds will be considered for transfer to another qualified 501 (c) (3) organization only when such funds are associated with an ongoing project. This request must be received within 30 days following termination of appointment.

Forms

Portland VA Research Foundation Forms

Check Request

Research Account Request

Travel Reimbursement Request

Independent Contractor Selection

Business Meeting Reimbursement Request

Subscriptions and Publications

Education Account Request Form

Institutional Base Salary Support Policy

Asset Tracking Form

VA Hardware/Software Computer Authorization Form

VA Hardware/Software Computer Authorization Form

Subaward Request Form